

ADMINISTRATIVE PROCEEDINGS SANCTIONS IN EFFECT DELETION LIST

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A & H FINANCIAL SERVICES, INC. -CFTC Docket No. 91-22

NFA-ID No. 0213220

- Registration as a commodity pool operator revoked.
- Comply with undertakings never to seek registration with the Commission in any capacity and never to engage in any activity that would require such registration.

ABRAHAM AND SONS CAPITAL, INC -CFTC Docket No. 98-7

NFA-ID No. 0262284

- Permanently prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse trading privileges.
- Shall never apply for registration with the Commission in any capacity, and shall not engage in any activity requiring such registration or act as an agent or officer of any person registered or required to be registered with the Commission.

ACKERMANN, JOHN FREDRICK -CFTC Docket No. 98-9

NFA-ID No. 0198562

- Registration with the Commission as an associated person is revoked.
- Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

ADKINS, DAVID -CFTC Docket No. 87-18

- Prohibited from trading on or subject to the rules of any contract market.

AGRIDATA -CFTC Docket No. 76-21

- Prohibited from trading on or subject to the rules of any contract market.
- Registration as a commodity trading advisor revoked.

AGRO COMMODITIES, INC. -CFTC Docket No. 79-30

- Prohibited from trading on or subject to the rules of any contract market.

AKAR, EMIL A. -CFTC Docket No. 82-29

-Application for registration as a commodity trading advisor denied.

ALBINO, GLORIA ANNE -CFTC Docket No. 95-11

NFA-ID No. 0014607

-Registration with the Commission as an associated person is revoked.

-Shall comply with undertaking never to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

ALHAMBRA SUN HING BULLION LTD. -CFTC Docket No. 92-9

-Prohibited from trading on or subject to the rules of any designated contract market.

-Comply with its undertaking never to seek registration with the Commission in any capacity.

ALLEN, RICHARD C. -CFTC Docket No. 80-7

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

ALLEN, ROBERT CARTER -CFTC Docket No. 76-19

-Prohibited from trading on or subject to the rules of any contract market.

ALMGREN, CARLTON -CFTC Docket No. 78-48

-Registration as an associated person of a futures commission merchant revoked.

ALTIERI, LINDA FRANCES -CFTC Docket No. 88-21

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

AMERICAN COMMODITY GROUP CORPORATION -CFTC Docket No. 82-6

- Registration as a commodity trading advisor and a commodity pool operator revoked.
- Prohibited from trading on or subject to the rules of any contract market and all contract markets are ordered to refuse trading privileges.

AMERICAN FUTURES CORPORATION (AFC) -CFTC Docket No. 88-4

- Registration with the Commission as a futures commission merchant revoked as of four(4) months from February 11, 1988, (June 11, 1988) or on the date, of any, on which AFC becomes registered with the Commission as an introducing broker, whichever occurs first.

AMERICAN FUTURES GROUP, INC. -CFTC Docket No. 95-15

NFA-ID No. 0089434

- Prohibited from trading on all contract markets.
- Registrations with the Commission as a futures commission merchant, commodity pool operator and a commodity trading advisor are suspended automatically until AFG shows to the satisfaction of the Commission that payment of the full amount of required restitution with interest thereon has been made.

AMERICAN INTERNATIONAL TRADING COMPANY -CFTC Docket No. 76-20

- Registration as a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

AMUNDSON, LEE DONALD -CFTC Docket No. 98-4

NFA-ID No. 0212144

- Shall undertake not to apply for registration with the Commission in any capacity and shall not engage in any activity requiring such registration or act as an agent or officer of any person registered or required to be registered with the Commission for a period of six (6) years through August 23, 2004.

ANDREWS, CHARLES E. -CFTC Docket No. SD 95-13

NFA-ID No. 0038982

ANDREWS, CHARLES E. -CFTC Docket No. SD 95-13 (continued)

-Registrations as a floor broker and an associated person are suspended and this order shall remain in effect until the Superseding Indictment in U.S. v. Mew et al., No. CR94-5246FDB (W.D. Wash. Sept. 14, 1994) is disposed of, or until this Order is terminated by the Commission.

ANDREWS, CHARLES E. -CFTC Docket No. SD 95-18

NFA-ID No. 0038982

-Registrations with the Commission as a floor broker and an associated person are revoked.

ANDREWS, HAROLD L. -CFTC Docket No. 76-14

-Application for registration as an associated person of a futures commission merchant denied.

ANTONACCI, GARY S. -CFTC Docket No. 98-8

NFA-ID No. 0036040

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

-Shall not act in any capacity as a commodity trading advisor or commodity pool operator, or as an agent or officer of any person registered or required to be registered as a commodity trading advisor or commodity pool operator.

ANTONACCI, GARY STEVEN -CFTC Docket No. 83-37

NFA-ID No. 0036040

CFTC-ID No. 0051532

-Registration as a commodity pool operator and a commodity trading advisor are hereby revoked.

-Pending application for registration as an associated person of a futures commission merchant and as a commodity trading advisor are hereby denied.

ARABATZIS, STEVEN M. -CFTC Docket No. 78-52

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

ARCHER, STEVEN DOYLE -CFTC Docket No. 78-32

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an associated person of a futures commission merchant revoked.

ARNOLD, CURTIS MCNAIR -CFTC Docket No. 97-12

NFA-ID No. 0183189

*-Prohibited from trading on or subject to the rules of any contract market, and all contract markets are directed to refuse him trading privileges for a period of three (3) years through September 4, 2003.

*-Shall comply with the undertaking never to engage in any activity that requires registration with the Commission, including, but not limited to, directing any current or prospective client's commodity interest account; soliciting, accepting or receiving any funds, revenue, or other property from any person, or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.

*-Shall comply with the undertaking never to act as a principal, agent, or officer of any person registered, exempted from registration or required to be registered with the Commission.

*-Shall comply with the undertaking never to apply for registration with the Commission in any capacity or to seek exemption from registration.

ARNOLD, EDWARD A. -CFTC Docket No. 79-35

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as floor broker revoked.

ARNOUX, MARK HARRY -CFTC Docket No. 86-22

-Prohibited from trading on or subject to the rules of any contract market.

ASHMAN, BRADLEY STEVEN -CFTC Docket No. 91-17

NFA-ID No. 0205271

ASHMAN, BRADLEY STEVEN -CFTC Docket No. 91-17 (continued)

- Permanently prohibited directly or indirectly from trading on or subject to the rules of any contract market, either for his own account or for the account of any other person interest or entity, and all contract markets are permanently required to refuse him trading privileges.

ASHTON & ST. JOHN'S, INC. -CFTC Docket No. 81-10

- Registration as a commodity pool operator revoked.
- Prohibited from trading on or subject to the rules of any contract market.

ATHANSON, HARRY J. -CFTC Docket No. 86-15

- Prohibited from trading on or subject to the rules of any contract market.

ATLANTIC FUTURES, INC. -CFTC Docket No. 85-1

- Comply with its undertaking never to re-apply for registration with the Commission in any capacity at anytime in the future.

ATLANTIC MERCANTILE GROUP, INC. -CFTC Docket No. 92-23

NFA-ID No. 0219013

- Registration as an introducing broker is revoked.
- Comply with undertaking never to seek registration with the Commission in any capacity.
- Comply with undertaking never to be an officer, director, principal, employee, or agent of any Commission registrant, and never perform work for, be associated with, or receive, either directly or indirectly, any form of compensation from any Commission registrant.

ATLANTIC TRADING COMPANY -CFTC Docket No. 80-9

- Registration as a futures commission merchant revoked.

AUCELLA, DAVID J. -CFTC Docket No. 86-6

NFA-ID No. 0044175

CFTC-ID No. 0056637

- Registration as a person associated with a futures commission merchant is revoked.

AUCELLA, DAVID J. -CFTC Docket No. 86-6 (continued)

-Prohibited from trading on or subject to the rules of any contract market.

AUGELLO, VINCENT -CFTC Docket No. SD 96-1

NFA-ID No. 0026870

-Registration with the Commission as a floor broker is revoked.

AUSTER, MORRIS -CFTC Docket No. 79-61

-Registration as a commodity trading advisor and as an associated person revoked.

-Disqualified from registration with the Commission in any capacity.

AUSTER, MORRIS -CFTC Docket No. 83-39

-Registration as a commodity trading advisor and as an associated person revoked.

-Disqualified from registration with the Commission in any capacity.

BABIO, JOSEPH, JR. -CFTC Docket No. 91-22

-Comply with undertakings never to seek registration with the Commission in any capacity and never to engage in any activity that would require such registration.

BACHUS & STRATTON COMMODITIES, INC. -CFTC Docket No. 94-2

NFA-ID No. 0197022

-Registrations with the Commission as a futures commission merchant and a commodity pool operator are revoked.

BAKER, JOHN M. -CFTC Docket No. 93-12

NFA-ID No. 0018937

-Prohibited from trading for his own account or for any account in which he has a direct or indirect interest on any contract market and all contract markets shall refuse him trading privileges for a period of seven (7) years through June 26, 2004.

-Registration with the Commission as a floor broker is revoked.

BAKER, ROBERT V. -CFTC Docket No. SD 89-2

a/k/a BOB BAKER

NFA-ID No. 0029808

CFTC-ID No. 0958544

-Registration as a commodity pool operator revoked.

BAKSHEEFF, CONSTANTINE -CFTC Docket No. 78-48

-Registration as an associated person of a futures
commission merchant revoked.

BAKSHEEFF, CONSTANTINE -CFTC Docket No. 80-34

-Application for registration as a commodity trading advisor
denied.

BARATH, HARRY -CFTC Docket No. 79-3

a/k/a HARRY BARRETT, H. BAROTH, H. BARRATTA

-Application for registration as an associated person of a
futures commission merchant denied.

BARCAL, WILLIAM A. -CFTC Docket No. 91-16

NFA-ID No. 0074893

-Prohibited from trading for his own account or for any
account in which he has a direct or indirect interest on any
contract market and all contract markets shall refuse him
trading privileges.

BAREN, MARTIN R. -CFTC Docket No. SD 95-2

NFA-ID No. 0249618

-Application for registration as a floor trader is denied.

BARNARD, ROSS A. -CFTC Docket No. 86-6

NFA-ID No. 0028596

CFTC-ID No. 0065181

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

BARNES, DON F. -CFTC Docket No. 78-45

-Registration as an associated person of a futures commission merchant revoked.

BARTONE BROKERAGE CORPORATION -CFTC Docket No. 88-34

a/k/a SAFEGUARD BROKERAGE

-Registration as an introducing broker revoked.

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

BARTONE, WILLIAM A., JR. -CFTC Docket No. 88-34

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

BASHISTA, RONALD -CFTC Docket No. 78-48

-Registration as an associated person of a futures commission merchant revoked.

BAUER, FRANK J. -CFTC Docket No. 79-30

-Prohibited from trading, directly or indirectly, on or subject to the rules of any contract market.

-Registration as an associated person and as a commodity pool operator revoked.

BAUMAN, BERNARD -CFTC Docket No. 79-1

-Registration as an associated person of a futures commission merchant revoked.

BAXTER INVESTMENTS, INC. -CFTC Docket No. 90-2

NFA-ID No. 0205337

-Prohibited from trading on or subject to the rules of any contract market.

BAXTER INVESTMENTS, INC. -CFTC Docket No. 90-2 (continued)

- Registration as a futures commission merchant, commodity trading advisor and a commodity pool operator revoked.
- Comply with undertaking not to seek registration with the Commission in any capacity.

BEARE, BRUCE R. -CFTC Docket No. 91-5

NFA-ID No. 0017712
CFTC-ID No. 0071944

- Registrations with the Commission are revoked.
- Prohibited from trading on or subject to the rules of any contract market.

BEARE, DAVID C. -CFTC Docket No. 91-5

NFA-ID No. 0020098
CFTC-ID No. 0071950

- Registration with the Commission as an associated person revoked.
- Prohibited from trading on or subject to the rules of any contract market.

BECK, LAWRENCE A. -CFTC Docket No. 90-14

NFA-ID No. 0193700

- Registration as a floor broker is revoked.

BELL, CRAIG H. -CFTC Docket No. 90-29

NFA-ID No. 0069690
CFTC-ID No. 0075156

- Comply with undertaking not to apply for registration with the Commission in any capacity.
- Registration as a floor broker is revoked.

BELL, PAUL RICHARD -CFTC Docket No. 89-4

NFA-ID No. 0022445

- Registration with the Commission as an associated person is permanently revoked.

BELL, STANLEY B. & CO., INC -CFTC Docket No. 90-29

-Comply with undertaking not to apply for registration with the Commission in any capacity.

BELLO, ANDREW, JR. -CFTC Docket No. 91-22

NFA-ID No. 0213225

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertakings never to seek registration with the Commission in any capacity and never to engage in any activity that would require such registration.

BENGSON, TIMOTHY MICHAEL -CFTC Docket No. 00-21

NFA-ID No. 0244274

- *-Permanently prohibited from trading on any contract market, and all contract markets shall refuse him trading privileges.
- *-Shall liquidate all futures and options positions held by him or on his behalf, or in which he has beneficial interest, before the commencement of the denial of his trading privileges.
- *-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14(a)(9), or act as a principal, agent, officer or employee of any person registered, required to be registered, or exempted from registration, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14(a)(9).
- *-Shall not directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission.
- *-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission.

BENJAMIN, MAURICE -CFTC Docket No. 82-23

-Prohibited from trading on or subject to the rules of any contract market.

BENNETT, RICHARD -CFTC Docket No. 78-48

-Registration as an associated person of a futures commission merchant revoked.

BENTLEY, DAVID L. -CFTC Docket No. 82-6

a/k/a DAVID L. SMITH

-Registrations as an associated person, a commodity pool operator and a commodity trading advisor revoked.

-Prohibited from trading on or subject to the rules of any contract market and all contract markets are ordered to refuse trading privileges.

BERGAMO, GARY RALPH -CFTC Docket No. 92-19

NFA-ID No. 0032107

-Registration with the Commission as a floor broker is revoked.

-Prohibited from trading or subject to the rules of any contract market, for a period of five (5) years through May 1, 2002.

BERGSTROM, CHARLES W. -CFTC Docket No. 91-15

NFA-ID No. 0015444

-Registration as a floor broker revoked.

-Prohibited from trading for his own account or for any account in which he has a direct or indirect interest on any contract market and all contract markets shall refuse him trading privileges.

-Application for floor trader registration is denied.

BERGSTROM, CHARLES W. -CFTC Docket No. SD 93-15

NFA-ID No. 0015444

-Prohibited from trading for his own account or for any account in which he has a direct or indirect interest on any contract market and all contract markets shall refuse him trading privileges.

-Application for floor trader registration is denied.

BERMAN, HAROLD -CFTC Docket No. 76-20

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

BERMAN, MELVIN -CFTC Docket No. 76-20

- Prohibited from trading on or subject to the rules of any contract market.
- Registration as an associated person and a commodity trading advisor revoked.

BERRY, FELIX A. -CFTC Docket No. SD 99-6

NFA-ID No. 0224933

- Registration with the Commission as an associated person is revoked.
- Shall comply with undertaking never to reapply for registration in any capacity under the Act and never to act in a capacity requiring registration.

BEVILLE BRESLER AND SCHULMAN SECURITIES, INC.

-CFTC Docket No. SD 85-10

- Registration as a futures commission merchant revoked.

BFC COMMODITIES, INC. -CFTC Docket No. SD 99-6

NFA-ID No. 0260989

- Registrations with the Commission as an commodity pool operator, commodity trading advisor and introducing broker are revoked.
- Shall comply with undertaking never to reapply for registration in any capacity under the Act and never to act in a capacity requiring registration.

BIGHAM, ROBERT W., JR. -CFTC Docket No. 87-19

NFA-ID No. 0046581

- Registration with the Commission as an associated person revoked.

BILELLO, LAWRENCE J. -CFTC Docket No. 93-5

NFA-ID No. 0082958

-Registration with the Commission as a floor broker is
revoked.

-Shall undertake never to apply for registration with the
Commission in any capacity.

BILLFUND, INC. -CFTC Docket No. 00-25

NFA-ID No. 0215737

*-Permanently prohibited from trading on or subject to the
rules of any contract market, and all contract markets shall
refuse its trading privileges.

*-Shall liquidate all futures and options held by Billfund,
Inc. or on its behalf, or in which Billfund, Inc. has any
beneficial interest, before commencement of the denial of
its trading privileges.

*-Shall never apply for registration or seek exemption from
registration with the Commission in any capacity, and shall
never engage in any activity requiring such registration or
exemption from registration, or act as a principal, agent,
officer or employee of any person registered, exempted from
registration or required to be registered with the
Commission.

*-Shall not directly or indirectly act as a principal,
partner, officer, or branch office manager of any entity
registered or required to be registered with the Commission.

*-Shall not directly or indirectly act in any supervisory
capacity over anyone registered or required to be registered
with the Commission.

BILLINGS, WILLIAM G. -CFTC Docket No. 00-25

NFA-ID No. 0215739

*-Permanently prohibited from trading on or subject to the
rules of any contract market, and all contract markets shall
refuse him trading privileges.

*-Shall liquidate all futures and options held by him or on
his behalf, or in which he has any beneficial interest,
before commencement of the denial of his trading privileges.

BILLINGS, WILLIAM G. -CFTC Docket No. 00-25 (continued)

- *-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent, officer or employee of any person registered, exempted from registration or required to be registered with the Commission.
- *-Shall not directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission.
- *-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission.

BLESS, JACK -CFTC Docket No. 79-17

- Application for registration as an associated person of a futures commission merchant denied.

BLOCH, HARVEY M. -CFTC Docket No. 83-18

NFA-ID No. 0085474
CFTC-ID No. 0088723

- Comply with undertaking not to seek registration with the Commission in any capacity.
- Never to trade any commodity interest account for any organization or for any person other than himself.
- Never to perform work for or receive any form of compensation from, either directly or indirectly, any Commission registrant in connection with its business as a Commission registrant.

BLUMENREICH, WILLIAM D. -CFTC Docket No. 89-28

NFA-ID No. 0037690
CFTC-ID No. 0089850

- Comply with undertakings never to seek registration with the Commission in any capacity and never to act in the capacity of any classification of registrant under the Act, whether such action requires registration or not.

BLUMEYER-LECKAR, NANCY J. -CFTC Docket No. 83-1

-Prohibited from trading on or subject to the rules of any contract market.

BOLT, JAMES W. -CFTC Docket No. 88-12

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

BOROSAK, DAVID G. -CFTC Docket No. 89-9

NFA-ID No. 0083195

CFTC-ID No. 0094508

-Registration as an associated person of a futures commission merchant and an introducing broker are revoked.

-Prohibited from trading on or subject to the rules of any contract market.

BRADSHAW, JAMES WILLIAM -CFTC Docket No. 98-6

a/k/a NEURAL-TECH CAPITAL MANAGEMENT

NFA-ID No. 0264160

-Registration with the Commission as a commodity trading advisor is revoked.

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets are directed to refuse him all trading privileges.

BRANCH, DAVID C. -CFTC Docket No. 94-5

NFA-ID No. 0215385

-Registration as an associated person is revoked.

-Prohibited from trading on or subject to the rules of any designated contract market, and all contract markets shall refuse him trading privileges.

-Comply with undertaking never to seek registration with the Commission in any capacity or act in any capacity which requires registration with the Commission.

BRANCH, DAVID C. -CFTC Docket No. 94-5 (continued)

-Comply with undertaking never to be an officer, director, principal, or employee or agent of, perform work for, be associated with, or receive any form of compensation, either directly or indirectly, from any Commission registrant.

BRANDVOLD, LLOYD T. -CFTC Docket No. 76-12

-Registration as an associated person of a futures commission merchant denied.

-Registration as a commodity trading advisor revoked.

BRANIFF, THOMAS M. -CFTC Docket No. 89-12

NFA-ID No. 0009058

-Registration as floor broker revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

BRENNER, STEVEN C. -CFTC Docket No. 90-7

NFA-ID No. 0021614

CFTC-ID No. 0102000

-Prohibited from trading on or subject to the rules of any contract market for a period of ten(10) years, through December 13, 2001.

BRINKS, HANS J. -CFTC Docket No. 94-14

-Permanently prohibited from trading on or subject to the rules of any contract market.

BRITISH AMERICAN COMMODITY OPTIONS CORPORATION

-CFTC Docket No. 77-3

-Applications for registration as a commodity trading advisor and a futures commission merchant denied.

BRITISH AMERICAN COMMODITY OPTIONS CORPORATION

-CFTC Docket No. 76-15

-Applications for registration as a commodity trading advisor and a futures commission merchant denied.

BROWN, NORMAN -CFTC Docket No. 78-29

-Application for registration as an associated person of a futures commission merchant denied.

BRUBAKER, BRETT GEORGE -CFTC Docket No. 98-7

NFA-ID No. 0262285

-Permanently prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

-Shall never apply for registration with the Commission in any capacity, and shall not engage in any activity requiring such registration or act as an agent or officer of any person registered or required to be registered with the Commission.

BRUNO, JOSEPH J. -CFTC Docket No. 91-20

NFA-ID No. 0186990

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking never to seek registration with the Commission in any capacity and never to engage in any activity which would require such registration.

BUCHBINDER, SAM -CFTC Docket No. SD 85-14

-Registration as an associated person of a futures commission merchant revoked.

BUCKWALTER, STANLEY -CFTC Docket No. 80-28 & 80-31

NFA-ID No. 0009474

-Registration as a floor broker is revoked.

BUDICAK, LISA ANN -CFTC Docket No. 99-17

NFA-ID No. 0253307

*-Shall comply with the undertaking not to directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission for a period of three (3) years through September 25, 2003.

BUDICAK, LISA ANN -CFTC Docket No. 99-17 (continued)

- *-Shall comply with the undertaking not to directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission or over any person, whether required to be registered with the Commission or not, involved in the execution, allocation, writing, receipt, or transmission of orders for futures contracts or options on futures contracts for a period of three (3) years through September 25, 2003.
- *-Shall comply with the undertaking not to serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of three (3) years through September 25, 2003.

BURROW, JAMES L. -CFTC Docket No. 80-10

- Registrations as an associated person and as a floor broker revoked.

CAAN, GLENN W. -CFTC Docket No. 86-21

- Prohibited from trading on or subject to the rules of any contract market for a period of fifteen(15) years, through November 30, 2002.
- Comply with undertaking not to apply for registration with the Commission in any capacity for a period of fifteen(15) years, through November 30, 2002.

CAAN, GLENN W., INC. -CFTC Docket No. 86-21

- Prohibited from trading for its own account or for any account on all contract markets for a period of fifteen(15) years, through November 30, 2002.
- Comply with undertaking not to apply for registration with the Commission in any capacity for a period of fifteen(15) years, through November 30, 2002.

CACERES, RICARDO FALLA -CFTC Docket No. 79-34

- Prohibited from trading on or subject to the rules of any contract market.

CALLAHAN, DONALD E. -CFTC Docket No. 90-3

NFA-ID No. 0080420
CFTC-ID No. 0882264

- Registration with the Commission as a floor broker is hereby revoked.

CALLAHAN, DONALD E. -CFTC Docket No. 90-3 (continued)

-Comply with undertaking not to apply for registration with the Commission in any capacity.

CAMPBELL, J.S. & CO. -CFTC Docket No. 88-24

NFA-ID No. 0090278

CFTC-ID No. 1006427

-Prohibited from trading on any contract market for a period of twenty(20) years, through January 2, 2010.

CAMPBELL, JAMES S. -CFTC Docket No. 88-24

NFA-ID No. 0092582

CFTC-ID No. 1006433

-Prohibited for life from seeking registration with the Commission in any capacity.

-Prohibited from trading on any contract market for a period of twenty(20) years, through January 2, 2010.

CANTILLANO-ESTRADA, EDWIN DE JESUS -CFTC Docket No. 94-15

-Prohibited from trading directly or indirectly on or subject to the rules of any contract market for his own account or for the account of any persons, interest, or entity, and all contract markets are permanently required to refuse him trading privileges.

CAPITAL INSIGHT BROKERAGE, INC. -CFTC Docket No. SD 00-01

NFA-ID No. 0209548

*-Registration with the Commission as an introducing broker is revoked.

CARRETTA, ROBERT F. -CFTC Docket No. 78-56

-Registration as an associated person of a futures commission merchant revoked.

CARTER, JOHN W. -CFTC Docket No. 79-13

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

CARVER, RICHARD L. -CFTC Docket No. 84-38

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from soliciting or accepting money, securities or property in connection with the purchase or sale of illegal commodity options.

CASEY, PETER W. -CFTC Docket No. 90-24

NFA-ID No. 0052623 ; 0219945

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor revoked.

CASTELLANO, ANTHONY M. -CFTC Docket No. SD 88-1

NFA-ID No. 0012692

CFTC-ID No. 0129426

-Registration as a floor broker revoked.

CASTELLANO, ANTHONY M. -CFTC Docket No. SD 94-11

NFA-ID No. 0012692

-Applications for registration as a floor broker or floor trader are denied.

CATALFO, ANTHONY P. -CFTC Docket No. 94-10

-Prohibited from trading for his own account or for any account in which he has a direct or indirect interest on any contract market.

CATIZONE, RICHARD M. -CFTC Docket No. 82-18

-Registration as an associated person of a futures commission merchant revoked.

CAYMAN ASSOCIATES, LTD. -CFTC Docket No. 79-16

-Registration as a futures commission merchant revoked.

CCFI, INC., A CALIFORNIA CORPORATION -CFTC Docket No. SD 96-2

a/k/a CALIFORNIA COMMODITY FUTURES INT'L

NFA-ID No. 0245019

CCFI, INC., A CALIFORNIA CORPORATION

-CFTC Docket No. SD 96-2 (continued)

-Registrations with the Commission as a commodity pool operator and a commodity trading advisor are revoked.

CEF & COMPANY, INC. -CFTC Docket No. 91-7

-Comply with undertaking not to apply for registration with the Commission in any capacity.

CERCONE, LOUIS -CFTC Docket No. 79-43

-Registration as an associated person of a futures commission merchant denied.

CHAN, KING KEUNG -CFTC Docket No. 98-1

a/k/a EDDY CHAN, KING CHAN

-Permanently prohibited from trading on or subject to the rules of any contract market.

CHARLES-SCOTT AND COMPANY -CFTC Docket No. 81-18

-Registration as a commodity pool operator revoked (along with any other registrations it may hold).

CHARRIER, MICHAEL -CFTC Docket No. 83-19

-Prohibited from trading on or subject to the rules of any contract market.

CHEUNG, JASON -CFTC Docket No. 92-9

-Prohibited from trading on or subject to the rules of any designated contract market.

CHICAGO DISCOUNT COMMODITY BROKERS, INC. -CFTC Docket No. 83-3

-Lapsed registration as a futures commission merchant revoked.

-Shall comply with its undertaking never to re-apply for registration with the Commission in any capacity.

-Prohibited from trading for its own account or for any account in which it has a direct or indirect interest on any contract market.

CHICAGO DISCOUNT COMMODITY BROKERS, INC. -CFTC Docket No. 83-4

- Lapsed registration as a futures commission merchant revoked.
- Shall comply with its undertaking never to re-apply for registration with the Commission in any capacity.
- Prohibited from trading for its own account or for any account in which it has a direct or indirect interest on any contract market.

CHILMARK COMMODITIES CORPORATION -CFTC Docket No. 88-25

- Registration as an introducing broker revoked.
- Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.
- Prohibited from trading on or subject to the rules of any contract market.

CHIRICOTTI, PHILLIP G. -CFTC Docket No. 92-14

NFA-ID No. 0191366

- Registration as a commodity trading advisor is revoked.

CHU, DAVID W.T. -CFTC Docket No. 92-9

NFA-ID No. 0042805

CFTC-ID No. 0818128

- Prohibited from trading on or subject to the rules of any designated contract market.

CHULIK, MARK E. -CFTC Docket No. SD 00-02

NFA-ID No. 0228838

- *-Registration with the Commission as a commodity trading advisor is revoked.

CITADEL TRADING CO. OF CHICAGO, LTD. -CFTC Docket No. 77-8

- Registration as a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

CITADEL TRADING CO., LTD. -CFTC Docket No. 77-8

-Registration as a futures commission merchant and as a commodity trading advisor revoked.

-Prohibited from trading on or subject to the rules of any contract market.

CLANCY, JAMES KENDALL -CFTC Docket No. 78-3

-Registration as an associated person of a futures commission merchant revoked.

CLANCY, PAUL -CFTC Docket No. 87-14

-Registration as an associated person is revoked.

CLARK, MICHAEL J. -CFTC Docket No. SD 93-2

NFA-ID No. 0194029

-Registration with the Commission as a floor broker is revoked.

CLEARY TRADING COMPANY, INC. -CFTC Docket No. 79-8

-Consents to entry of an order of the Commission which would require Cleary to comply with its undertakings not to engage in the business of or act in the capacity of a futures commission merchant, commodity trading advisor or commodity pool operator during the remainder of its current registrations.

-Never again to seek registration with the commission or engage in the business or act in the capacity of a futures commission merchant, commodity pool operator or commodity trading advisor.

CLEARY, JOHN THOMAS -CFTC Docket No. 81-8

-Application for registration as an associated person of a futures commission merchant denied.

CLOCKWORK TRADING CORPORATION -CFTC Docket No. SD 95-22

NFA-ID No. 0259646

-Registrations with the Commission as a commodity trading advisor and a commodity pool operator are revoked and Clockwork is statutorily disqualified from registration in any capacity.

CLOTHIER, DANIEL G. -CFTC Docket No. 93-27

NFA-ID No. 0071481

-Registration with the Commission as an associated person is revoked.

-Comply with undertaking not to apply for registration with the Commission in any capacity.

-Comply with undertaking not to act in any capacity as a futures commission merchant, introducing broker, floor broker, floor trader, commodity trading advisor, commodity pool operator, leverage transaction merchant, associated person of any registrant under this Act, or affiliated person or agent of any of the foregoing, or to otherwise act in any capacity which causes or requires him to accept or hold customer funds.

CMB CAPITAL MANAGEMENT CORP. -CFTC Docket No. 98-10

NFA-ID No. 0209388

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets are directed to refuse all trading privileges.

-Registration with the Commission as a guaranteed introducing broker is revoked.

COEN, M.J. -CFTC Docket No. 78-37

-Registration as an associated person of a futures commission merchant denied.

COFFEY, MICHAEL A. -CFTC Docket No. 86-6

NFA-ID No. 0040470

CFTC-ID No. 0144149

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

COHEN, SEYMOUR -CFTC Docket No. 78-2

-Application for registration as an associated person of a futures commission merchant denied.

COHN, STUART -CFTC Docket No. 81-16

-Registration as an associated person of a futures commission merchant revoked.

COLICCHIA, PETER D. -CFTC Docket No. SD 95-24

NFA-ID No. 0093341

-Comply with undertaking to withdraw his application for registration as a floor broker.

COLLINS COMMODITY BROKERAGE COMPANY, INC. -CFTC Docket No. 93-27

NFA-ID No. 0176066

-Registrations with the Commission as an introducing broker and as a commodity pool operator are revoked.

-Comply with undertaking not to apply for registration with the Commission in any capacity.

-Comply with undertaking not to act in any capacity as a futures commission merchant, introducing broker, floor broker, floor trader, commodity trading advisor, commodity pool operator, leverage transaction merchant, associated person of any registrant under the Act, or affiliated person or agent of any person registered or required to be registered under the Act, or to otherwise act in any capacity which causes or requires it to accept or hold customer funds.

COLLINS, HAROLD W. -CFTC Docket No. 77-15

-Prohibited from trading on or subject to the rules of any contract market.

COLORADO COMPUTER SERVICE -CFTC Docket No. 84-48

-Comply with undertaking not to seek registration with the Commission in any capacity.

COLORADO INDUSTRIAL BANK CORPORATION -CFTC Docket No. 84-48

-Comply with undertaking not to seek registration with the Commission in any capacity.

COM-TECH SYSTEM, LTD. -CFTC Docket No. 88-12

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

COM-TECH SYSTEM, LTD. -CFTC Docket No. 88-12 (continued)

-Prohibited from trading on or subject to the rules of any contract market.

COMENZO, THOMAS A. -CFTC Docket No. SD 86-4

-Registration as floor broker revoked.

COMMODITIES INTERNATIONAL CORPORATION -CFTC Docket No. 83-43

NFA-ID No. 0001121

-Registrations with the Commission as a commodity pool operator and a commodity trading advisor are revoked.

COMMODITIES INTERNATIONAL HOLDING CORP. -CFTC Docket No. 83-43

-Application for registration with the Commission is denied.

COMMODITY SERVICES, INC. -CFTC Docket No. 80-15

-Registration as a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

COMMODITY SPECIALIST CORP. -CFTC Docket No. 82-14

-Applications for registration as a commodity pool operator and commodity trading advisor denied.

COMPUTREND, LTD. -CFTC Docket No. 78-42

-Registration as a commodity trading advisor and a commodity pool operator revoked.

CONNOLLY, DAVID C. -CFTC Docket No. 86-6

NFA-ID No. 0052612

-Registration as an associated person revoked.

-Prohibited from trading on or subject to the rules of any contract market for a period of ten(10) years, through August 15, 2002.

CONTICOMMODITY SERVICES, INC. -CFTC Docket No. 85-12

-Shall not seek registration as a futures commission merchant or in any other capacity with the Commission.

CONTICOMMODITY SERVICES, INC. -CFTC Docket No. 85-12 (continued)

-Shall not resume active business as a futures commission merchant, resume any business that would require its registration as a futures commission merchant, or otherwise under the Commodity Exchange Act, as amended, of the Commission Regulations.

CONTICOMMODITY SERVICES, INC. -CFTC Docket No. 86-36

-Shall not seek registration as a futures commission merchant or in any other capacity with the Commission.

-Shall not resume active business as a futures commission merchant, resume any business that would require its registration as a futures commission merchant, or otherwise under the Commodity Exchange Act, as amended, of the Commission Regulations.

COTE, LARRY -CFTC Docket No. 83-4

-Lapsed registration as a floor broker revoked.

COX, EDWARD A., III. -CFTC Docket No. 91-14

NFA-ID No. 0090660

-Permanently prohibited from trading for his own account or for any account in which he has a direct or indirect interest on any contract market and all contract markets shall refuse him trading privileges.

-Registration with the Commission as a floor broker is revoked.

CRAIG, JAMES P. -CFTC Docket No. 82-26

-Prohibited from trading on or subject to the rules of any contract market.

CRILLY, RICHARD J. -CFTC Docket No. 86-30

-Comply with his undertakings never to apply for, or to act in any capacity requiring registration with the Commission.

CROTHERS, WILLIAM R. -CFTC Docket No. 87-19

NFA-ID No. 0047408

-Registration as an associated person revoked.

CROUCH, THOMAS A. -CFTC Docket No. 93-10

NFA-ID No. 0038787

-Registration with the Commission as a floor broker is revoked.

-Prohibited from trading for any account in which he has a direct or indirect interest on any contract market and all contract markets shall refuse him trading privileges for a period of five(5) years through August 12, 2002.

CROWN COLONY COMMODITY OPTIONS, LTD. -CFTC Docket No. 79-1

-Registration as a futures commission merchant and as a commodity trading advisor revoked.

CSA INVESTOR SERVICES, INC. -CFTC Docket No. 98-4

NFA-ID No. 0226672

-Registration with the Commission as an introducing broker is revoked.

CULL, FRANK A. -CFTC Docket No. 91-7

NFA-ID No. 0195564

-Registration as a floor broker revoked.

CUNNINGHAM, JOSEPH M. -CFTC Docket No. 94-7

NFA-ID No. 0200622

-Comply with undertaking never to seek registration with the Commission in any capacity or to act in any capacity which requires registration with the Commission.

CUNNINGHAM, KEITH H. -CFTC Docket No. 97-14

NFA-ID No. 0190787

-Shall not apply for registration with the Commission in any capacity for a period of five (5) years through August 12, 2002; and for a period of seven (7) years through August 12, 2004, not accept any position or duties which involve the supervision of persons who trade for other persons, or persons who solicit customers, or persons who offer advice, in connection with commodity interest accounts, derivatives, or other instruments regulated by the Commission.

CUSTER, RUSSELL H. -CFTC Docket No. 92-27

a/k/a HARLAN CUSTER ENTERPRISES, INC.

NFA-ID No. 0225572

-Comply with undertaking never to seek registration with the Commission in any capacity required to accept or to hold funds from other individuals for the purpose, in whole or in part, of purchasing or selling commodity futures contracts or options on commodity futures contracts, or to act in any capacity that would so require registration with the Commission.

-Comply with undertaking never to act as a principal of a firm or entity registered with the Commission in any capacity required to accept or to hold funds from other individuals for the purpose, in whole or in part, of purchasing or selling commodity futures contracts or options on commodity futures contracts, or a firm or entity acting in a capacity that would so require registration with the Commission.

DALEY, MORGAN J. CORPORATION -CFTC Docket No. 85-15

-Registration as a commodity trading advisor and a commodity pool operator revoked.

DALLAS BROKERAGE COMPANY, INC. -CFTC Docket No. 79-9

-Registration as a futures commission merchant denied.

DALLAS BROKERAGE COMPANY, INC. -CFTC Docket No. 78-46

-Registration as a futures commission merchant denied.

DAMASO, DONALD P. -CFTC Docket No. 92-12

NFA-ID No. 0188474

-Registration with the Commission as an associated person revoked.

DANIELS, RICHARD -CFTC Docket No. 86-6

NFA-ID No. 0019800

-Registration as an associated person revoked.

-Prohibited from trading on or subject to the rules of any contract market for a period of ten(10) years, through August 15, 2002.

DAVIS, HARRY L. -CFTC Docket No. 92-17

NFA-ID No. 0049993

CFTC-ID No. 0171441

-Comply with undertaking never to apply for registration with the Commission in any capacity and never to be a principal of any registrant.

DECKELBAUM, MITCHELL -CFTC Docket No. 87-3

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

DEH FINANCIAL SERVICES, INC. -CFTC Docket No. 87-8

-Comply with its undertaking never to re-apply for registration with the Commission in any capacity.

DELBIDGE, DAVID S. -CFTC Docket No. 85-15

-Registration as an associated person of a futures commission merchant revoked.

DEMHOFF CORPORATION -CFTC Docket No. 89-25

-Comply with undertaking never to apply for registration with the Commission in any capacity.

DEMPSEY, MARTIN J., JR. -CFTC Docket No. 91-13

NFA-ID No. 0055554

-Prohibited directly or indirectly, from trading on or subject to the rules of any contract market, either for his own account or for the account of any other person, interest, or entity, and all contract markets are permanently required to refuse him any trading privileges.

DEMPSEY, RICHARD R. -CFTC Docket No. 89-25

NFA-ID No. 0057993

-Registration as a floor broker revoked.

DEPRIZIO, DANIEL -CFTC Docket No. 79-42

-Registration as an associated person of a futures commission merchant revoked.

DESALVO, NICHOLAS -CFTC Docket No. 92-19

NFA-ID No. 0063334

-Registration with the Commission as a floor broker is revoked

-Prohibited from trading on or subject to the rules of any contract market for a period of ten (10) years through March 5, 2008.

DIAL, DONALD D. -CFTC Docket No. 80-19

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

-Pending applications for registration with the Commission be denied.

-Prohibited from trading on or subject to the rules of any contract market.

DIAL, SCOTT D. -CFTC Docket No. 81-3

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

-Any pending applications for registration with the Commission be denied.

DIAL, SCOTT D. -CFTC Docket No. 80-19

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

-Any pending applications for registration with the Commission be denied.

DICKSON, FREDERICK J. -CFTC Docket No. 84-5

-Prohibited from trading on or subject to the rules of any contract market.

DICKSON, FREDERICK J. -CFTC Docket No. 83-62

-Registration as floor broker revoked.

DICKSTEIN, MARK B. -CFTC Docket No. 90-29

NFA-ID No. 0022101

-Registration with the Commission as a floor broker revoked.

DIRKSEN, TERRY ALLAN -CFTC Docket No. 98-4

NFA-ID No. 0197488

-Shall undertake not to apply for registration with the Commission in any capacity and shall not engage in any activity requiring such registration or act as an agent or officer of any person registered or required to be registered with the Commission for a period of three (3) years through September 23, 2001.

DISPASQUALE, VINCENT A. -CFTC Docket No. 78-35

-Registration as an associated person of a futures commission merchant denied.

DIVERSIFIED MANAGEMENT SERVICES CORP. -CFTC Docket No. 90-16

NFA-ID No. 0000275

CFTC-ID No. 0787345

-Prohibited from trading on or subject to the rules of any contract market.

DIVERSIFIED TRADING SYSTEMS, INC. -CFTC Docket No. 94-5

NFA-ID No. 0219677

-Registration as an introducing broker is revoked.

-Prohibited from trading on or subject to the rules of any designated contract market and all contract markets shall refuse all trading privileges.

-Comply with undertaking never to seek registration with the Commission in any capacity or act in any capacity which requires registration with the Commission.

DOHERTY, JOHN FRANCIS -CFTC Docket No. 83-23

NFA-ID No. 0007271

CFTC-ID No. 0187121

-Prohibited from trading on or subject to the rules of any contract market.

DOLPHIN COMMODITIES, INC. -CFTC Docket No. 80-33

-Registration as a futures commission merchant revoked.

DOMBROSKI, WALTER -CFTC Docket No. 88-20

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

DONNEY SECURITIES, LTD. -CFTC Docket No. 79-42

-Registration as a futures commission merchant and as a commodity trading advisor revoked.

-Prohibited from trading on or subject to the rules of any contract market.

DOYLE, JAMES J. -CFTC Docket No. 79-11

-Registration as an associated person of a futures commission merchant revoked.

DRURY & ASSOCIATES, INC. -CFTC Docket No. 88-2

-Comply with its undertaking never to reapply for registration with the Commission in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

DULL, MARGARET MARY -CFTC Docket No. 99-17

NFA-ID No. 0252194

*-Shall comply with the undertaking not to directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission for a period of two (2) years through April 9, 2002.

DULL, MARGARET MARY -CFTC Docket No. 99-17 (continued)

- *-Shall comply with the undertaking not to directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission or over any person, whether required to be registered with the Commission or not, involved in the execution, allocation, writing, receipt, or transmission of orders for futures contracts or options on futures contracts, other than for her own account (which, as used herein, shall include the account of Dull's husband) for a period of two (2) years through April 9, 2002.
- *-Shall comply with the undertaking not to act in any capacity, whether registration with the Commission is required or not, which involves the execution, allocation, writing, receipt, or transmission of orders for futures contracts or options on futures contracts, other than for her own account unless subject to certain restrictions for a period of two (2) years through April 9, 2002.

DUNHILL FINANCIAL GROUP, INC. -CFTC Docket No. 99-7

NFA-ID No. 0266146

- *-Registrations with the Commission as an introducing broker, commodity pool advisor and a commodity trading advisor are revoked.
- *-Permanently prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse its trading privileges.
- *-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

DUNHILL INVESTMENTS CORPORATION -CFTC Docket No. 90-25

a/k/a OXFORD INVESTMENTS

NFA-ID No. 0212041

- Registration as an introducing broker hereby revoked.
- Comply with undertaking not to seek registration with the Commission in any capacity or act in any capacity which requires registration with the Commission.

DURKIN & ASSOCIATES, INC. -CFTC Docket No. 88-12

- Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.
- Prohibited from trading on or subject to the rules of any contract market.

DURKIN, JOHN F. -CFTC Docket No. 88-12

- Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.
- Prohibited from trading on or subject to the rules of any contract market.

DURKIN, JOHN F. & CO., INC. -CFTC Docket No. 82-43

- Registration as a commodity trading advisor and a commodity pool operator revoked.

DURKIN, TIMOTHY E., SR. -CFTC Docket No. 88-12

- Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.
- Prohibited from trading on or subject to the rules of any contract market.

DUVERGLASS, LESLIE -CFTC Docket No. 77-18

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

E.D.P. COMMODITY, INC. -CFTC Docket No. 82-8

- Prohibited from trading on or subject to the rules of any contract market until further notice of the Commission.

EAGAN & COMPANY, INC. -CFTC Docket No. 92-20

NFA-ID No. 0086367

- Registration as an introducing broker revoked.

EAGAN, JAMES R. -CFTC Docket No. 92-20

NFA-ID No. 0052539

-Registration as an associated person revoked.

ECKLES, OLIVER B. -CFTC Docket No. 93-22

NFA-ID No. 0084772

-Comply with undertaking not to apply for registration with the Commission in any capacity, and not to act in any capacity as a CPO, or as an agent of any person registered or required to be registered as a CPO, or to otherwise accept or hold customer funds.

ECONOMIC MANAGEMENT, INC. -CFTC Docket No. 87-20

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity at any time in the future.

EDCO MANAGEMENT CORPORATION -CFTC Docket No. 89-4

NFA-ID No. 0185536

-Registration with the Commission as an introducing broker is revoked.

EDWARD MARTIN D/B/A BLACK GOLD INTERNATIONAL

-CFTC Docket No. 00-30

*-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including himself, of any commodity futures or options trading system or advisory service.

*-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

EFFRON, CRAIG W. -CFTC Docket No. 93-2

NFA-ID No. 0043988

-Registration with the Commission as a floor trader is revoked.

-Shall not apply for registration with the Commission for a period of four(4) years through March 3, 2001.

EGAN, THOMAS M. -CFTC Docket No. 93-18

NFA-ID No. 0019491

-Comply with undertaking not to apply for registration with the Commission in any capacity at any time.

-Comply with undertaking not to act in any capacity as an associated person, futures commission merchant, commodity pool operator, commodity trading advisor, introducing broker, floor trader, or floor broker, or as a principal of any person registered or required to be registered under the Act, or as an agent or employee of any person registered or required to be registered under the Act engaging in any activity within the Commission's jurisdiction, at any time.

-Comply with undertaking not to make or place orders for trades on any contract market, except for placing orders with duly registered persons for his own and his wife's accounts, at any time.

EGGUM, JOHN N. -CFTC Docket No. 89-13

NFA-ID No. 0018086

-Registration with the Commission as a floor broker is hereby revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

EINSTEIN-CISVEST, INC. -CFTC Docket No. 94-9

a/k/a EINSTEIN FUTURES GROUP

NFA-ID No. 0194816

-Registration with the Commission as a commodity trading advisor is revoked.

-Comply with undertaking never to seek registration with the Commission in any capacity or to act in any capacity which requires registration with the Commission.

EISENBERG, MURRAY -CFTC Docket No. 80-23

a/k/a COMMODITY INVESTMENTS COUNSELORS

-Registrations of Murray Eisenberg as an associated person of a futures commission merchant, commodity pool operator and commodity trading advisor revoked.

EISENBERG, MURRAY -CFTC Docket No. 80-23 (continued)

-Registrations of Murray Eisenberg d/b/a Commodity Investment Counselors as a commodity pool operator and commodity trading advisor revoked.

EMANUEL CAPITAL ADMINISTRATORS -CFTC Docket No. 87-1

-Comply with undertaking not to apply for registration with the Commission in any capacity.

ENGEL, CHRISTOPHER E. -CFTC Docket No. 93-5

NFA-ID No. 0074751

-Registration with the Commission shall be revoked.

ERICKSON, GAYE L. -CFTC Docket No. 84-41

-Prohibited from trading on or subject to the rules of any contract market.

FAHR, GEORGE P. -CFTC Docket No. 82-31

-Registration as an associated person of a futures commission merchant revoked.

FAIRCHILD, ARABATZIS & SMITH, INC. -CFTC Docket No. 78-52

-Registrations as a futures commission merchant, commodity trading advisor and commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

FALKOWITZ, MICHAEL JACOBS -CFTC Docket No. 81-19

-Application for registration as an associated person of a futures commission merchant denied.

FARLEY, KATHLEEN A. -CFTC Docket No. 91-3

NFA-ID No. 0080101

-Registration with the Commission as a floor broker revoked.

FARRELL, THOMAS J. -CFTC Docket No. 92-22

NFA-ID No. 0046692

-Registration with the Commission as a floor broker is revoked.

FARRELL, THOMAS J. -CFTC Docket No. 92-22 (continued)

-Comply with undertaking never to reapply for registration with the Commission as a floor broker.

FASON, STEWART E. -CFTC Docket No. 77-8

-Registration as an associated person of a futures commission merchant and a commodity trading advisor revoked.

FEDERAL GOLD & SILVER, INC. -CFTC Docket No. 80-36

-Registration as a futures commission merchant and as a commodity trading advisor revoked.

-Prohibited from trading on or subject to the rules of any contract market.

FEDERBUSH, CHARLES E. -CFTC Docket No. 91-7

NFA-ID No. 0213380 ; 0053351

-Comply with undertaking never to seek registration with the Commission in any capacity.

-Registration as a commodity trading advisor revoked.

-Registration as a floor broker revoked.

FEINTUCH, STEVEN -CFTC Docket No. 78-36

-Registration as an associated person of a futures commission merchant denied.

FELSEN, MURRAY P. -CFTC Docket No. 89-23

NFA-ID No. 0191589

-Registration as a person associated person with an introducing broker revoked.

-Shall comply with the undertaking never to seek registration with the Commission in any capacity.

FERRAGAMO, RONALD -CFTC Docket No. 86-32

NFA-ID No. 0020412

CFTC-ID No. 0218376

-Registration with the Commission as an associated person revoked.

FERRARA, LOUIS -CFTC Docket No. 76-20

- Registration as a floor broker revoked.
- Prohibited from trading on or subject to the rules of any contract market.

FETCHENHIER, JOEL JEAN -CFTC Docket No. 91-12 & SD 93-14

NFA-ID No. 0224597

- Application for registration with the Commission as a floor trader is denied.
- Prohibited from trading directly or indirectly on or subject to the rules of any contract market either for his own account or for any account of any other person, interest or entity and all contract markets shall refuse him trading privileges for a period of ten (10) years through November 30, 2007.

FEUILLEBOIS, ROBERT F. -CFTC Docket No. 78-52

- Application for registration as an associated person of a futures commission merchant denied.

FIELD, JOHN A., IV. -CFTC Docket No. SD 95-22

NFA-ID No. 0234902

- Registration with the Commission as an associated person is revoked and Field is statutorily disqualified from registration in any capacity.

FIENGA, JOSEPH -CFTC Docket No. 82-4

- Prohibited from trading on or subject to the rules of any contract market.

FINANCIAL ALTERNATIVES, INC. -CFTC Docket No. 83-44

- Registration as a commodity trading advisor and a commodity pool operator revoked.
- Prohibited from trading on or subject to the rules of any contract market.

FINANCIAL SERVICES GROUP, INC. -CFTC Docket No. 88-1

- Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.
- Registration as an introducing broker revoked.

FIRST COMMERCIAL FINANCIAL GROUP, INC. -CFTC Docket No. 95-10

NFA-ID No. 0197718

-Registration with the Commission as a futures commission merchant is revoked.

FIRST COMMODITY CORPORATION OF BOSTON -CFTC Docket No. 86-6

NFA-ID No. 0002574

CFTC-ID No. 0012156

-Registration as a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

FIRST FUTURES GROUP, INC. -CFTC Docket No. SD 98-1

NFA-ID No. 0254371

-Registrations with the Commission as an introducing broker and a commodity pool operator are revoked.

FIRST MANHATAN COMMODITIES CORPORATION -CFTC Docket No. 84-42

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

FIRST NATIONAL TRADING CORPORATION -CFTC Docket No. 90-28

NFA-ID No. 0000604

-Registration with the Commission as a futures commission merchant revoked.

FIRST NATIONAL TRADING CORPORATION -CFTC Docket No. 92-17

NFA-ID No. 0000604

-Registration with the Commission as a futures commission merchant revoked.

FIRST PULLEN COMMODITY SERVICES, INC. -CFTC Docket No. 89-20

-Registration as an introducing broker revoked.

FIRST REPUBLIC FINANCIAL CORPORATION -CFTC Docket No. 94-14

NFA-ID No. 0224593

-Permanently prohibited from trading on or subject to the rules of any contract market

FIRST REPUBLIC TRADING CORP. -CFTC Docket No. 94-14

NFA-ID No. 0205392

-Permanently prohibited from trading on or subject to the rules of any contract market.

-Registration with the Commission as an introducing broker is revoked.

FISCHER, ALEXANDER -CFTC Docket No. 78-20

-Application for registration as an associated person of a futures commission merchant denied.

FISCHER, HAIG -CFTC Docket No. 86-6

NFA-ID No. 0062589

-Registration as an associated person revoked.

FOGAL, RONALD R. -CFTC Docket No. 87-14

-Comply with undertaking not to seek registration with the Commission in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

FOX, GEORGE J., JR. -CFTC Docket No. 90-29

NFA-ID No. 0203679

-Registration as a floor broker is revoked.

FOX, OWEN, JR. -CFTC Docket No. 78-58

-Registration as an associated person of a futures commission merchant denied.

FRAITES, JOSEPH LAWRENCE -CFTC Docket No. 00-26

NFA-ID No. 0022460

FRAITES, JOSEPH LAWRENCE -CFTC Docket No. 00-26 (continued)

- *-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of two (2) years through August 6, 2002.
- *-Shall not directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission for a period of two (2) years through August 6, 2002.
- *-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission or over any person, whether required to be registered with the Commission or not, involved in the writing, receipt, or transmission of orders, and/or the completion or processing of order tickets, for futures contracts or options on futures contracts, other than for his own account for a period of two (2) years through August 6, 2002.
- *-Shall not act in any capacity, whether registration with the Commission is required or not, which involves the writing, receipt, or transmission of orders, and/or the completion or processing of order tickets, for futures contracts or options on futures contracts, other than for his own account subject to certain conditions for a period of two (2) years through August 6, 2002.

FRANKLAND COMMODITIES CORP. -CFTC Docket No. 78-45

-Registration as a futures commission merchant revoked.

FRIEDMAN, DOUGLAS M. -CFTC Docket No. 90-14

NFA-ID No. 0194455

-Registration with the Commission as a floor broker revoked.

FRIEDMAN, HOWARD -CFTC Docket No. 80-15

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

FRIEDMAN, RAY E. -CFTC Docket No. 90-21

NFA-ID No. 0052706

CFTC-ID No. 0236279

-Registration as a floor broker is revoked.

FRIEDMAN, ROBERT I. -CFTC Docket No. 83-60

-Registration as a floor broker revoked.

FRITH, ROBERT E., JR. -CFTC Docket No. 97-14

NFA-ID No. 0190785

-Shall not apply for registration with the Commission in any capacity for a period of five (5) years through August 12, 2002; and for a period of seven (7) years through August 12, 2004, not accept any position or duties which involve the supervision of persons who trade for other persons, or persons who solicit customers, or persons who offer advice, in connection with commodity interest accounts, derivatives, or other instruments regulated by the Commission.

FRITTS, JAMES GARY -CFTC Docket No. 94-12

NFA-ID No. 0192051

-Prohibited from trading directly or indirectly on or subject to the rules of any contract market for his own account or for the account of any persons, interest, or entity, and all contract markets are permanently required to refuse him trading privileges.

FSI FUTURES, INC. -CFTC Docket No. 95-8

NFA-ID No. 0002717

-Shall undertake to withdraw its registration as a futures commission merchant.

-Shall undertake not to apply for registration with the Commission in any capacity, other than as an introducing broker, never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

FSI FUTURES, INC. -CFTC Docket No. 95-9

NFA-ID No. 0002717

-Shall undertake to withdraw its registration as a futures commission merchant.

FSI FUTURES, INC. -CFTC Docket No. 95-9 (continued)

-Shall undertake not to apply for registration with the Commission in any capacity, other than as an introducing broker, never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

FUHRMAN, MARK E. -CFTC Docket No. 89-14

NFA-ID No. 0017396

-Registration as a floor broker revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

FURLETT, NORMAN K. -CFTC Docket No. 89-1

-Registration as an associated person is revoked.

-Prohibited from trading on or subject to the rules of any contract market.

GAIBER, SELWYN "SY" -CFTC Docket No. 99-8

-Prohibited from trading for his own account or for any account in which he has a direct or indirect interest, on any contract market, and all contract markets shall refuse him trading privileges for a period of three(3) years through June 22, 2002.

-Shall comply with undertaking never to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration or act as an agent or officer of any person registered or required to be registered with the Commission.

GALE, WILLIAM A. -CFTC Docket No. 94-16

NFA-ID No. 0202192

-Comply with undertaking not to reapply for registration with the Commission in any capacity and never to engage in any activity requiring registration, or act as an agent or officer of any person registered with the Commission.

-Prohibited from trading on or subject to the rules of any contract market, and directs all contract markets to refuse him trading privileges.

GALGANO, THOMAS S. -CFTC Docket No. 85-23

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

GANDOLFO, JOHN PETER -CFTC Docket No. 93-2

NFA-ID No. 0009781

- Registration with the Commission as a floor broker is revoked.

GANGEMI, PAUL J. -CFTC Docket No. 97-14

NFA-ID No. 0190786

- Shall not apply for registration with the Commission in any capacity for a period of five (5) years through August 12, 2002; and for a period of seven (7) years through August 12, 2004, not accept any position or duties which involve the supervision of persons who trade for other persons, or persons who solicit customers, or persons who offer advice, in connection with commodity interest accounts, derivatives, or other instruments regulated by the Commission.

GANNON, JAMES P., III. -CFTC Docket No. 92-18

NFA-ID No. 0076428

- Comply with undertaking not to apply for registration with the Commission in any capacity for a period of ten(10) years through July 27, 2002.

GARCIA, BERTHA B. -CFTC Docket No. 86-26

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading for her own account or for any account in which she has an interest, direct or indirect, on or subject to the rules of any contract market.
- Comply with undertaking not to seek registration with the Commission in any capacity.

GARFIELD SUN HING BULLION LTD. -CFTC Docket No. 92-9

- Prohibited from trading on or subject to the rules of any designated contract market.

GARFIELD SUN HING BULLION LTD. -CFTC Docket No. 92-9 (continued)

-Comply with its undertaking never to seek registration with the Commission in any capacity.

GATH, DANIEL MICHAEL. -CFTC Docket No. SD 94-12

NFA-ID No. 0241975

-Application for full and unconditional registration as a floor trader is denied.

GELBSTEIN, STEVEN JAY -CFTC Docket No. 92-21

NFA-ID No. 0248523

*-Prohibited from trading on or subject to the rules of any contract market for a period of ten (10) years through January 19, 2010.

GENOVESE, FRANK T. -CFTC Docket No. 86-35

-Registration with the Commission in any capacity revoked.

-Prohibited from trading on or subject to the rules of any contract market.

GENOVESE, KAREN T. -CFTC Docket No. 86-35

-Registration with the Commission in any capacity revoked.

-Prohibited from trading on or subject to the rules of any contract market.

GEORGE HEFFERNAN D/B/A ACCUTRADER AND ACCUTRADER DAY TRADING SCHOOL

-CFTC Docket No. 00-29

*-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including him/herself, of any commodity futures or options trading system or advisory service.

*-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

GHOLSON, BARRY D. -CFTC Docket No. 87-9

- Comply with undertaking never to apply for registration with the Commission or the National Futures Association in any capacity.
- Prohibited from trading on or subject to the rules of any contract market.

GHUN, HAK -CFTC Docket No. 81-13

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

GIARLETTA, PAUL A. -CFTC Docket No. 91-7

NFA-ID No. 0021009

- Comply with undertaking not to apply for registration with the Commission in any capacity.
- Registration as floor broker revoked.

GIARRITANO, JOSEPH -CFTC Docket No. SD 86-3

- Registration as floor broker revoked.

GIMBEL, STUART N. -CFTC Docket No. 84-20

NFA-ID No. 0030375
CFTC-ID No. 0253239

- Prohibited from trading on or subject to the rules of any contract market.

GLASS, GARY -CFTC Docket No. 93-4

NFA-ID No. 0023525

- Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

GLASS, GARY -CFTC Docket No. 80-28 & 80-31

NFA-ID No. 0023525

- Registration as a floor broker is revoked.

GLOBAL LINK MIAMI CORPORATION -CFTC Docket No. 98-1

-Permanently prohibited from trading on or subject to the rules of any contract market.

GNAIZDA, DAVID -CFTC Docket No. 84-30

a/k/a GANN, DAVID

-Registration as an associated person of a futures commission merchant revoked.

GNP COMMODITIES, INC. -CFTC Docket No. 89-1

NFA-ID No. 0000074

-Registration as a futures commission merchant revoked.

GOBERSTEIN, HOWARD J. -CFTC Docket No. 90-17

NFA-ID No. 0194550

-Registration as a floor broker revoked.

-Comply with undertaking not to apply for registration with the Commission in any capacity.

GODRES, ROSS -CFTC Docket No. 99-13

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

-Shall liquidate all futures and options held by him or on his behalf, or in which he has any beneficial interest, before commencement of the denial of his trading privileges.

-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as an agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

GOLD, PHILLIP H. -CFTC Docket No. 84-33

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

GOLD, PHILLIP H. -CFTC Docket No. 85-11

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

GOLDMAN, SALLY E. -CFTC Docket No. 80-15

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

GOLEMBESKI, ROBERT W. -CFTC Docket No. 84-1

- Registration as a commodity trading advisor revoked.

GOLLIN, LAWRENCE -CFTC Docket No. 89-21

NFA-ID No. 0177595

- Prohibited from trading on or subject to the rules of any contract market.
- Registration as an associated person of a futures commission merchant revoked.

GOOSSEN, JERRY -CFTC Docket No. SD 86-1

a/k/a JEROME D. GOOSSEN

- Registration as a commodity trading advisor revoked.

GORDON, SIDNEY S. -CFTC Docket No. 78-51

- Application for registration as an associated person of a futures commission merchant denied.

GORECKI, MICHAEL -CFTC Docket No. 78-61

- Registration as an associated person of a futures commission merchant denied.

GOREN, STEPHEN R. -CFTC Docket No. 78-4

- Application for registration as an associated person of a futures commission merchant denied.

GOURLAY WOLFF FUTURES LTD. -CFTC Docket No. 92-1

-Exemption from registration issued pursuant to Part 30 of the Commission's Regulations revoked.

GOURLAY WOLFF FUTURES LTD. (DUBLIN) -CFTC Docket No. 92-1

-Prohibited from trading on or subject to the rules of any contract market.

GRAMER, GEORGE W. -CFTC Docket No. 84-36

-Registration as an associated person and a commodity trading advisor revoked.

-Prohibited from soliciting or accepting money, securities or property in connection with the purchase or sale of illegal commodity options.

GRANDVIEW HOLDING CORPORATION -CFTC Docket No. 95-9

NFA-ID No. 0090133

-Registration with the Commission as an introducing broker is revoked.

-Shall undertake never to apply for registration with the Commission in any capacity, and never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

GREAT AMERICAN COMMODITIES, INC. -CFTC Docket No. 88-30

NFA-ID No. 0190158

-Registration in any capacity revoked.

GREEN, DAVID -CFTC Docket No. 99-1

-Shall comply with the undertaking not to engage in trading commodities for future delivery or options thereon other than on behalf of himself, his spouse or his children.

GREENBERG, DAVID S. -CFTC Docket No. SD 88-3

-Registration as floor broker revoked.

GREENBERG, GARY -CFTC Docket No. 80-28 & 80-31

NFA-ID No. 0056344

-Registration as a floor broker is revoked.

GREENBERG, ROBERT -CFTC Docket No. 82-28

-Prohibited from trading on or subject to the rules of any contract market.

GREENSPON, IRA P. -CFTC Docket No. 89-1

-Registration as an associated person is revoked.

-Prohibited from trading on or subject to the rules of any contract market.

GRIFFIN, SHERALD, CPA. -CFTC Docket No. 98-12

-Shall comply with undertaking not to apply for reinstatement with the Commission for a period of five (5) years through April 7, 2003.

GROSSFELD, KENNETH R. -CFTC Docket No. 89-23

NFA-ID No. 0023030

-Registration with the Commission as an associated person is permanently revoked.

GROSSMAN, AARON T. -CFTC Docket No. 83-36

-Application for registration as an associated person of a futures commission merchant denied.

GRUBERG, STEVEN MARK -CFTC Docket No. 79-50

-Application for registration as an associated person of a futures commission merchant denied.

GUTSIN, SIDNEY -CFTC Docket No. 95-4

-Comply with undertaking never to seek registration with the Commission in any capacity and never to engage in any activity requiring registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

GUTTMAN, ZOLTAN -CFTC Docket No. 93-4

NFA-ID No. 0194466

*-Registration with the Commission as a floor broker is revoked.

*-Permanently prohibited from trading on or subject to the rules of any contract market.

HABERBUSH, ARTHUR G. -CFTC Docket No. 78-10A

-Prohibited from trading on or subject to the rules of any contract market.

HAGAN, LAMBERT J. -CFTC Docket No. SD 85-12

-Registration as an associated person of a futures commission merchant revoked.

HALL, PAUL -CFTC Docket No. 78-55

-Shall not seek registration with the Commission in any capacity.

HALPER, ROBERT S. -CFTC Docket No. 92-21

NFA-ID No. 0004342

-Registration as a floor broker revoked.

HAMLET, EDWARD TRUMP, JR. -CFTC Docket No. 94-14

NFA-ID No. 0226085

-Comply with undertaking never to apply for registration in any capacity under the Act and never to engage in any activity requiring such registration.

HANEMAN, JACK W. -CFTC Docket No. 86-25

-Registration as an associated person of a futures commission merchant revoked.

HANEMAN, WILLIAM F. -CFTC Docket No. 88-29

NFA-ID No. 0071312

CFTC-ID No. 0283555

-Comply with undertaking never to seek registration with the Commission in any capacity, and not to engage in any activity which would require such registration.

-Prohibited from trading, directly or indirectly, on or subject to the rules of any contract market.

HARDWICK & WELLS COMMODITIES, INC. -CFTC Docket No. 83-19

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

HARDWICK, WELLS & WINTHROP, INC. -CFTC Docket No. 83-19

- Registration as a commodity trading advisor and a commodity pool operator revoked.
- Prohibited from trading on or subject to the rules of any contract market.

HARELIK, BRIAN H. -CFTC Docket No. 80-15

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

HARLEY, STANLEY C. -CFTC Docket No. 00-20

- *-Shall comply with the undertaking not to engage in any activity which requires registration with the Commission as a commodity trading advisor, including directing any current or prospective client's commodity interest account or guiding any current or prospective client's commodity interest trading subject to certain conditions.

HARLOW, DAVID E. -CFTC Docket No. 87-8

- Comply with his undertaking never to reapply for registration with the Commission in any capacity.

HARRIS, RONALD -CFTC Docket No. 77-4

- Application for registration as an associated person of a futures commission merchant denied.

HARRIS, WILLIAM B. -CFTC Docket No. 88-18

NFA-ID No. 0054055
CFTC-ID No. 0772170

- Registration with the Commission revoked.
- Prohibited from trading on or subject to the rules of any contract market.

HARRISON, GEORGE R. -CFTC Docket No. 82-26

- Prohibited from trading on or subject to the rules of any contract market.
- Prohibited from selling or trading off exchange instruments regulated by the Commission.

HARTOG, JAMES DEN -CFTC Docket No. 00-07

- *-Prohibited from directly or indirectly trading on or subject to the rules of any contract market on behalf of himself or others and all contract markets shall refuse him all trading privileges thereon, except that Den Hartog is permitted to engage in bona fide hedging, as defined by Commission Regulation 1.3(z), to hedge price risks associated with his business as a hog breeder.
- *-Comply with undertaking never to apply for registration or seek exemption from registration with the Commission in any capacity and never to engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempt from registration or required to be registered with the Commission.

HARVEY, THOMAS T. -CFTC Docket No. 80-15

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

HAYES, RICHARD C. -CFTC Docket No. SD 95-5

NFA-ID No. 0036888

- Registration with the Commission as a floor broker is revoked.

HEATH, JOYCE V. -CFTC Docket No. 88-15

NFA-ID No. 0047983

- Registration as an associated person of a futures commission merchant is revoked.

HEMPEL, MICHAEL E. -CFTC Docket No. 82-24

- Prohibited from trading on or subject to the rules of any contract market.

HENCH, NEVINE V. -CFTC Docket No. 80-36

a/k/a CEA DOCKET NO. 230

- Shall never apply for registration with the Commission in any capacity.

HENDRICKS, DANIEL A. -CFTC Docket No. 82-2

-Application for registration as a commodity trading advisor denied.

HENRIKSEN, RICHARD -CFTC Docket No. 91-3

NFA-ID No. 0008885

-Registration with the Commission as a floor broker is revoked.

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges for a period of ten (10) years through August 27, 2007.

HENRY & HORNE, PLC -CFTC Docket No. 98-11

-Shall comply with undertaking not to apply to the Commission for reinstatement for a period of five (5) years through October 20, 2003.

HEREDIA, JOHN C. -CFTC Docket No. SD 85-4

-Registration as an associated person of a futures commission merchant revoked.

HERMANSON, JOHN A. -CFTC Docket No. 95-10

NFA-ID No. 0197227

-Registrations with the Commission as an associated person and a commodity trading advisor are revoked.

HERNANDEZ, ROBERT PHILIP -CFTC Docket No. 86-2

-Prohibited from trading on or subject to the rules of any contract market.

HERNANDEZ, SAMUEL J. -CFTC Docket No. 90-2

NFA-ID No. 0205342

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

HERR, ALAN -CFTC Docket No. 83-5

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

HERR, HERB -CFTC Docket No. 83-5

-Prohibited from trading on or subject to the rules of any contract market.

HERZBERG, MELVIN -CFTC Docket No. 82-23

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

HESSEE, KEVIN L. -CFTC Docket No. 94-3

NFA-ID No. 0232939

-Comply with undertaking never to seek registration with the Commission in any capacity or act in any capacity which requires registration with the Commission.

-Comply with undertaking never to be an officer, director, principal or employee or agent of, perform work for, be associated with, or receive any form of compensation, either directly or indirectly, from any Commission registrant.

HEWITT, PAUL J. -CFTC Docket No. SD-90-5

NFA-ID No. 0073362

CFTC-ID No. 0302371

-Registration as a commodity trading advisor is revoked.

HILBURN, RODGER -CFTC Docket No. 80-1

a/k/a PACIFIC PRECIOUS METALS

-Prohibited from trading on or subject to the rules of any contract market.

HILL, JOSEPH T. -CFTC Docket No. 78-14

-Registration as an associated person of a futures
commission merchant denied.

HINSHAW, DOUGLAS D. -CFTC Docket No. 88-18

NFA-ID No. 0059146

CFTC-ID No. 0305884

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

HIRSCHBERG, JUDD BLAIR. -CFTC Docket No. SD 91-7

NFA-ID No. 0193768

-Registration with the Commission as a floor broker is
revoked.

HIX, JOHN D. -CFTC Docket No. 78-47

-Registration as an associated person of a futures
commission merchant revoked.

HOFFMAN KAVANAUGH COMMODITY CORP -CFTC Docket No. 80-2

-Prohibited from trading on or subject to the rules of any
contract market.

HOFFMAN, CHARLES, JR. -CFTC Docket No. 78-59

-Registration as an associated person of a futures
commission merchant denied.

HOFFMAN, PETER D. -CFTC Docket No. 99-9

-Shall undertake never to apply for registration with the
Commission in any capacity and never to engage in any
activity requiring such registration or act as an agent or
officer of any person registered or required to be
registered with the Commission.

HOLLANDER, FREDERICK N. -CFTC Docket No. 94-11

NFA-ID No. 0114057

-Prohibited from trading on or subject to the rules of any
contract market.

HOLLANDER, FREDERICK N. -CFTC Docket No. 94-11 (continued)

-Comply with undertaking never to seek registration with the Commission in any capacity or to act in any capacity which requires registration with the Commission, never to be an officer, director, principal, or employee or agent of, or perform work for, be associated with, or receive any form of compensation, either directly or indirectly, from any Commission registrant; and to cooperate fully with the Commission in the investigation and litigation of these or related proceedings.

HOROWITZ, ALAN L. -CFTC Docket No. 91-23

NFA-ID No. 0187804

-Registration as an associated person of a futures commission merchant is revoked.

-Comply with undertaking never to seek registration with the Commission in any capacity, and never to engage in any activity which would require such registration.

HOUGE, RICHARD -CFTC Docket No. 99-6

*-Shall comply with undertaking not to apply for registration or seek exemption from registration with the Commission in any capacity under the Act, and not to engage in any activity for which registration or exemption from registration with the Commission is required under the Act or act as a principal, employee, officer or agent of any person registered, exempted from registration or required to be registered under the Act.

HOUSTON SYSTEM TRADING, LLC -CFTC Docket No. 00-24

*-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent, officer or employee of any person registered, exempted from registration or required to be registered with the Commission; this includes, but is not limited to soliciting, accepting or receiving any funds, revenue, or other property from any person, giving advice for compensation, or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.

HOWE, WILLIAM A. -CFTC Docket No. 83-44

- Registration as a commodity trading advisor revoked.
- Prohibited from trading on or subject to the rules of any contract market.

HSU, DAVID -CFTC Docket No. 92-9

NFA-ID No. 0211545

- Prohibited from trading on or subject to the rules of any designated contract market.

HSU, GRACE -CFTC Docket No. 98-10

NFA-ID No. 0262835

- Prohibited from trading on or subject to the rules of any contract market, and all contract markets are directed to refuse all trading privileges.
- Registration with the Commission as an associated person is revoked.

HSU, RUBY -CFTC Docket No. 92-9

a/k/a CHENG, RUBY

NFA-ID No. 0213459

- Prohibited from trading on or subject to the rules of any designated contract market.

HUGHES, SHELDON -CFTC Docket No. 77-2

- Registration as an associated person of a futures commission merchant revoked.

HUMPREYS, VAUGHN E. -CFTC Docket No. 79-25

- Registration as an associated person of a futures commission merchant revoked.
- Comply with undertaking not to seek registration with the Commission in any capacity.

HUNT, NELSON B. -CFTC Docket No. 85-12

NFA-ID No. 0223653

HUNT, NELSON B. -CFTC Docket No. 85-12 (continued)

-Prohibited from trading on or subject to the rules of any contract market. Such prohibition and refusal shall include all trading done and positions held by W.H. Hunt for his own account, for any account in which W.H. Hunt has a direct interest, or for any account that W.H. Hunt controls, directly or indirectly.

HUNT, WILLIAM H. -CFTC Docket No. 85-12

NFA-ID No. 0223654

-Prohibited from trading on or subject to the rules of any contract market. Such prohibition and refusal shall include all trading done and positions held by W.H. Hunt for his own account, for any account in which W.H. Hunt has a direct interest, or for any account that W.H. Hunt controls, directly or indirectly.

HUNTER, NOREEN J. -CFTC Docket No. 88-16

NFA-ID No. 0094191

CFTC-ID No. 1069655

-Registration as a person associated with a futures commission merchant is revoked.

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse Hunter such trading privileges.

HUNTFORD CORPORATION PROFIT SHARING PLAN AND TRUST

-CFTC Docket No. 89-25

-Comply with undertaking never to apply for registration with the Commission in any capacity.

HUTCHERSON, MARK STEPHEN -CFTC Docket No. 99-7

NFA-ID No. 0242912

*-Registration with the Commission as an associated person is revoked.

*-Permanently prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

HUTCHERSON, MARK STEPHEN -CFTC Docket No. 99-7 (continued)

- *-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

HYMAN, ALBERT -CFTC Docket No. 78-40

- Registration as an associated person of a futures commission merchant denied.

IACIOFANO, DOMENIC F. -CFTC Docket No. 79-51

- Registration as an associated person of a futures commission merchant denied.

ILK, MARK R. -CFTC Docket No. 90-32

NFA-ID No. 0061269

- Comply with undertaking not to apply for registration with the Commission in any capacity.

IMPERIAL OPTIONS, LTD -CFTC Docket No. 77-7

- Applications for registration as a commodity trading advisor and a futures commission merchant denied.

INCOMCO, INC. -CFTC Docket No. 82-20

- Registrations as a futures commission merchant, commodity trading advisor and commodity pool operator are revoked.
- Prohibited from trading on or subject to the rules of any contract market.

INDEX, INC. -CFTC Docket No. 85-23

- Registration as a commodity trading advisor revoked.
- Prohibited from trading on or subject to the rules of any contract market.

INSTITUTO NACIONAL DEL CAFE -CFTC Docket No. 79-34

a/k/a INCAFE

- Prohibited from speculative trading on or subject to the rules of any contract market.

INTERNATIONAL COMMODITY ADVISORS, INC. -CFTC Docket No. 76-19

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor denied.

INTERNATIONAL COMMODITY CORP. -CFTC Docket No. 79-7

-Registration as a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

INTERNATIONAL COMMODITY OPTIONS, LTD. -CFTC Docket No. 78-2

-Application for registration as a futures commission merchant denied.

INTERNATIONAL DYNAMICS, INC. -CFTC Docket No. 84-29

-Prohibited from trading on or subject to the rules of any contract market.

INTERNATIONAL FUTURES CORP. -CFTC Docket No. 98-16

NFA-ID No. 0251676

-Registration with the Commission as an introducing broker is revoked.

INTERNATIONAL METALS INVESTMENT CO., LTD. -CFTC Docket No. 85-12

NFA-ID No. 0236655

-Prohibited from trading on or subject to the rules of any contract market.

INTERNATIONAL TRADING GROUP OF IOWA -CFTC Docket No. 90-9

a/k/a NORTH STAR FINANCIAL GROUP, LTD.

NFA-ID No. 0213615

-Registration as an introducing broker revoked.

-Prohibited from trading on or subject to the rules of any contract market.

-Comply with the undertaking never to seek registration with the Commission in any capacity.

INTERNATIONAL TRADING GROUP, LTD. -CFTC Docket No. 91-5

NFA-ID No. 0002912

CFTC-ID No. 0017356

-Registrations with the Commission are revoked.

-Comply with its undertaking never to apply for registration with the Commission in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

INTERNATIONAL TRADING SYSTEMS AUSTRALIA PTY LIMITED

-CFTC Docket No. 00-28

*-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including him/herself, of any commodity futures or options trading system or advisory service.

*-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

*-Prohibited from trading on all contract markets until International Trading Systems Australia PTY Limited shows to the satisfaction of the Commission that payment of the full amount of the civil penalty with interest thereon to the date of payment has been made.

INTERNATIONAL TRADING SYSTEMS, LTD -CFTC Docket No. 00-28

*-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including him/herself, of any commodity futures or options trading system or advisory service.

*-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

*-Prohibited from trading on all contract markets until International Trading Systems, Ltd. shows to the satisfaction of the Commission that payment of the full amount of the civil penalty with interest thereon to the date of payment has been made.

INTERVEST COMMODITIES, INC. -CFTC Docket No. 81-11

-Respondent shall not in the future apply to the Commission to be registered as a futures commission merchant or in any other capacity.

INVESTORS INTERNATIONAL, INC. -CFTC Docket No. 78-64

-Applications for registration as a commodity pool operator and commodity trading advisor denied.

IP, YUN SANG -CFTC Docket No. 92-9

a/k/a IP, SAMMY

NFA-ID No. 0197981

-Prohibited from trading on or subject to the rules of any designated contract market.

-Registration with the Commission as an associated person revoked.

ITZKOWITZ, DAVID -CFTC Docket No. SD 00-03

NFA-ID No. 0054684

*-Registration with the Commission as a floor broker is revoked.

IV GREAT RIVER CORP. -CFTC Docket No. 98-5

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse its trading privileges.

IZDEBSKI, RICHARD J. -CFTC Docket No. 88-18

-Comply with undertaking not to apply for registration with the Commission for a period of fifteen(15) years, through June 7, 2003.

-Comply with undertaking not to become a principal of any entity that is required to be registered in any capacity under the Act for a period of fifteen(15) years, through June 7, 2003.

J.P.M. INDUSTRIES, INC. -CFTC Docket No. SD-87-3

NFA-ID No. 0090103

CFTC-ID No. 1026390

-Registration as a commodity pool operator is revoked.

J.P.M. TRADING COMPANY, INC. -CFTC Docket No. SD-87-3

a/k/a J.P.M. FUND I

NFA-ID No. 0001296

CFTC-ID No. 0764369

-Registrations as an introducing broker and a commodity trading advisor are revoked.

JACKAM, KEVIN -CFTC Docket No. 93-2

NFA-ID No. 0259031

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

JADERBORG, RONALD T. -CFTC Docket No. 79-6

-Registration as an associated person of a futures commission merchant revoked.

JANKOWSKI, CHRISTOPHER -CFTC Docket No. 79-16

-Registration as an associated person of a futures commission merchant revoked.

JARBOE, JAMES P., JR. -CFTC Docket No. 80-19

-Registration as an associated person of a futures commission merchant revoked.

JCC, INC. -CFTC Docket No. 89-4

NFA-ID No. 0001612

-Registration with the Commission as a futures commission merchant is permanently revoked.

JENSEN, DANIEL ELLIS -CFTC Docket No. SD 94-9

NFA-ID No. 0040458

-Application as a floor broker is denied.

JEWETT, EUGENE LYON, II. -CFTC Docket No. 97-7

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him all trading privileges for a period of ten (10) years through June 8, 2007, or until he has made full restitution to each of the customers described in the complaint, as ordered, whichever period is longer.

JOHANNING, JEROME B. -CFTC Docket No. 87-13

-Registration as a floor broker revoked.

JOINER, WILLIAM H. -CFTC Docket No. 84-37

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from soliciting or accepting money, securities or property in connection with the purchase or sale of illegal commodity options.

JOYCE, PAUL F. -CFTC Docket No. 93-21

NFA-ID No. 0220138

-Registration as an associated person revoked.

-Prohibited from trading on or subject to the rules of any contract market.

-Comply with undertaking never to seek registration with the Commission in any capacity or act in any capacity which requires registration with the Commission.

-Comply with undertaking never to be an officer, director, principal, or employee or agent of, perform work for, be associated with, or receive any form of compensation, either directly or indirectly, from any Commission registrant.

KAHN, ELLIS K. -CFTC Docket No. 83-43

NFA-ID No. 0064297 ; 0002493

-Registrations with the Commission as a commodity trading advisor and a commodity pool operator are revoked.

KAHN, ELLIS K. -CFTC Docket No. 89-4

NFA-ID No. 0064297

-Registrations with the Commission as an associated person and a floor broker are revoked.

KALUS, ELLIOT -CFTC Docket No. 78-55

-Registration as an associated person of a futures commission merchant revoked.

KAMERDIN, JOHN T. -CFTC Docket No. 85-50

-Prohibited from trading on or subject to the rules of any contract market.

KAMINSKI, KENNETH W. -CFTC Docket No. 80-36

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading for the period of his incarceration plus six months - if not incarcerated for three years all contract markets should refuse trading privileges.

KANNO, GEORGE -CFTC Docket No. 79-59

-Registration as an associated person of a futures commission merchant denied.

KAPLAN, MURRAY F. -CFTC Docket No. SD 95-6

NFA-ID No. 0247400

-Application for registration as a floor broker is denied.

-Shall not apply to be registered in any capacity, other than as a floor trader, for a period of five(5) years through June 12, 2001.

KAUFMAN, MILTON -CFTC Docket No. 91-7

NFA-ID No. 0082894

-Registration as a floor broker revoked.

KAUFMAN, MILTON -CFTC Docket No. SD 94-2

NFA-ID No. 0082894

-May not act as a floor trader as defined under Section 1.3(x) of the Commission Regulations, 17 CFR Section 1.3(x), unless his activities as a floor trader are subject to a Supplemental Sponsor Certification Statement in the specified form, executed and submitted to the Commission by an officer of his clearing member, if such officer is a registrant or a principal of a registrant, or by the chief operating officer of a contract market on which he has trading privileges.

KAWAKAMI, LEO T. -CFTC Docket No. 82-41

-Registration as an associated person of a futures commission merchant revoked.

KAY, JAMES W. -CFTC Docket No. 78-28

-Registration as an associated person of a futures commission merchant denied.

KELLOGG, MICHAEL A. -CFTC Docket No. 80-6

-Registration as an associated person of a futures commission merchant revoked.

KELLY, MICHAEL J. -CFTC Docket No. 79-54

-Prohibited from trading on or subject to the rules of any contract market.

KELSON, GARY -CFTC Docket No. 76-20

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an associated person of a futures commission merchant revoked.

KENNEY, THOMAS P. -CFTC Docket No. 91-11

NFA-ID No. 0014747

-Registration as a floor broker is revoked.

-Permanently prohibited from trading for his own account or for any account in which he has a direct or indirect interest on any contract market and all contract markets shall refuse him trading privileges.

KERZINGER, WILLY -CFTC Docket No. 97-15

-Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

-Comply with undertaking never to seek registration or exemption from registration with the Commission in any capacity, and never to engage in any activity requiring registration or exemption from registration, or act as an agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

KETCHAM, RAYMOND H. -CFTC Docket No. 84-42

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.
- Shall not seek registration with the Commission in any capacity.

KETCHAM, THERESA A. -CFTC Docket No. 84-42

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.
- Shall not seek registration with the Commission in any capacity.

KILANDI, PAUL -CFTC Docket No. 80-1

- Prohibited from trading on or subject to the rules of any contract market.

KIM, SEUNGHO -CFTC Docket No. 00-24

- *-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent, officer or employee of any person registered, exempted from registration or required to be registered with the Commission; this includes, but is not limited to soliciting, accepting or receiving any funds, revenue, or other property from any person, giving advice for compensation, or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.

KING, J. MICHAEL -CFTC Docket No. 95-9

NFA-ID No. 0072960

- Registration with the Commission as an associated person revoked.
- Shall undertake never to apply for registration with the Commission in any capacity, or never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

KING, JOHN J. -CFTC Docket No. 90-14

NFA-ID No. 0195296

-Registration with the Commission is revoked.

KING, JOHN L. -CFTC Docket No. 87-20

-Registration as a commodity trading advisor revoked.

-Comply with undertaking not to seek registration with the Commission or the National Futures Association at any time in the future.

KING, MICHAEL A. -CFTC Docket No. 92-17

NFA-ID No. 0060490

-Comply with undertaking never to apply for registration with the Commission in any capacity.

KIRK, PAUL -CFTC Docket No. 86-2

-Prohibited from trading on or subject to the rules of any contract market.

KITCHENER, GARY -CFTC Docket No. 78-55

-Registration as an associated person of a futures commission merchant revoked.

KLINE, JAYSON S. -CFTC Docket No. 94-8

NFA-ID No. 0207051

-Comply with undertaking never to seek registration with the Commission in any capacity or to act in any capacity which requires registration with the Commission.

KNACK, ROBERT L. -CFTC Docket No. 84-9

-Registration as a floor broker revoked.

KOERNER, WILLIAM B. -CFTC Docket No. 98-5

NFA-ID No. 0059066

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

KOHLER, JAMES THOMAS, JR. -CFTC Docket No. 78-16

-Registration as an associated person of a futures commission merchant denied.

KORSEN, STEVEN -CFTC Docket No. 81-14

-Permitted to withdraw pending application for registration as an associated person.

KOSAR, MELANIE R. -CFTC Docket No. 90-6

NFA-ID No. 0194638

-Registration as a floor broker revoked.

-Comply with her undertaking not to apply for registration with the Commission in any capacity.

KOTANSKY, RAYMOND D. -CFTC Docket No. 79-40

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

KRON, DAN -CFTC Docket No. 85-26

NFA-ID No. 0000294

CFTC-ID No. 0838235

-Lapsed registrations as commodity pool operator and commodity trading advisor revoked.

KYLE, JOHN N., II. -CFTC Docket No. 88-22

NFA-ID No. 0057313

CFTC-ID No. 0851233

-Registration as a person associated with an introducing broker is revoked.

-Prohibited from trading on or subject to the rules of any contract market.

LA MANTIA, SAM H. -CFTC Docket No. 79-52

-Registration as floor broker revoked.

LACROSSE, CRAIG J. -CFTC Docket No. 90-20 & SD 91-6

NFA-ID No. 0053903

-Prohibited from trading for his own account or for any account in which he has a direct or indirect interest on any contract market and all contract markets shall refuse him all trading privileges for a period of five (5) years through February 19, 2002.

-Registration with the Commission as a floor broker is revoked.

LAI, PETER T. -CFTC Docket No. 97-5

NFA-ID No. 0243721

-Prohibited from trading on or subject to the rules of any designated contract market for a period of five(5) years through February 10, 2004.

LANDIN, ALFRED -CFTC Docket No. 78-31

-Registration as an associated person of a futures commission merchant revoked.

LANDIN, ALFRED -CFTC Docket No. 78-55

-Registration as an associated person of a futures commission merchant revoked.

LANDIN, ALFRED -CFTC Docket No. 79-48

-Registration as an associated person of a futures commission merchant revoked.

LANE, GEORGE C. -CFTC Docket No. 92-26

NFA-ID No. 0065624 ; 0002571

-Registration as a commodity trading advisor is revoked.

LAUBSCHER, DONNA, CPA. -CFTC Docket No. 98-12

-Shall comply with undertaking not to apply for reinstatement with the Commission for a period of five (5) years through April 7, 2003.

LAVENDER, IRA M. -CFTC Docket No. 00-23

*-Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall deny his trading privileges.

LAVENDER, IRA M. -CFTC Docket No. 00-23 (continued)

- *-Shall comply with the undertaking never to apply for registration with the Commission in any capacity or to seek exemption from registration.
- *-Shall comply with the undertaking never to engage in any activity requiring registration with the Commission, including, but not limited to, directing any current or prospective client's commodity interest account; soliciting, accepting or receiving any funds, revenue, or other property from any person; or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.
- *-Shall comply with the undertaking never to act as a principal, agent, or officer of any person registered, exempted from registration or required to be registered with the Commission.

LAWTON, GRANT -CFTC Docket No. 98-1

- Permanently prohibited from trading on or subject to the rules of any contract market.

LE CLAIRE, DAVID B. -CFTC Docket No. SD 93-18

NFA-ID No. 0014645

- Comply with undertaking to withdraw his application for registration as a floor trader.

LEE, ANDREW M. -CFTC Docket No. 92-9

- Prohibited from trading on or subject to the rules of any designated contract market.

LEONARD, BETTY -CFTC Docket No. 94-13

- Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse her trading privileges.

LEONARD, ROBERT K. -CFTC Docket No. 94-13

- Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

LERMAN, LAWRENCE S. -CFTC Docket No. 92-22

NFA-ID No. 0012784

- Comply with undertaking not to apply for registration with the Commission in any capacity.
- Comply with undertaking not to trade on the trading floor of any contract market during trading hours at any time for a period of ten(10) years, through September 17, 2002.

LERNER, EDWARD -CFTC Docket No. 89-4

NFA-ID No. 0056477

- Registration with the Commission as an associated person is permanently revoked.

LEVASSEUR, JOHN -CFTC Docket No. 79-36

- Registration as an associated person of a futures commission merchant revoked.

LEVINE, SCOTT J. -CFTC Docket No. 92-23

NFA-ID No. 0187972

- Registration as an associated person revoked.
- Comply with undertaking never to seek registration with the Commission in any capacity.
- Comply with undertaking never to be an officer, director, principal, employee, or agent of any Commission registrant, and never perform work for, be associated with, or receive, either directly or indirectly, any form of compensation from any Commission registrant.

LEVITIS, ILYA -CFTC Docket No. 97-13

NFA-ID No. 0249866

- *-Permanently prohibited from trading on or subject to the rules of any contract market, and all contract markets shall be required to refuse him trading privileges.
- *-Shall not apply for registration with the Commission in any capacity, and shall not engage in any activity requiring such registration or act as an agent or officer of any person registered or required to be registered with the Commission.

LEVITIS, LEON -CFTC Docket No. 97-13

NFA-ID No. 0266752

- *-Permanently prohibited from trading on or subject to the rules of any contract market, and all contract markets shall be required to refuse him trading privileges.
- *-Shall not apply for registration with the Commission in any capacity, and shall not engage in any activity requiring such registration or act as an agent or officer of any person registered or required to be registered with the Commission.

LEXUS FINANCIAL GROUP, INC. -CFTC Docket No. 97-4

NFA-ID No. 0244775

- *-Registration with the Commission as an introducing broker is revoked.
- *-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse its trading privileges.
- *-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

LINCOLNWOOD COMMODITIES, INC. OF CALIFORNIA

-CFTC Docket No. 78-48

-Registrations as a futures commission merchant, commodity trading advisor and commodity pool operator revoked.

LIPPSE, RODNEY ALAN -CFTC Docket No. 78-67

-Application for registration as an associated person of a futures commission merchant denied.

LIU, JUSTIN S. -CFTC Docket No. 94-6

NFA-ID No. 0006063

-Comply with undertaking not to apply for registration with the Commission in any capacity.

LIU, JUSTIN S. -CFTC Docket No. 94-6 (continued)

-Comply with undertaking not to act in any capacity as a commodity trading advisor, commodity pool operator, futures commission merchant, leverage transaction merchant, introducing broker, floor broker, or floor trader, or as an associated person or agent of any of the foregoing, or to otherwise solicit, accept or receive from others funds, securities or property, either directly or indirectly, or through any entity, for the purposes of trading in any futures or commodity options contract.

LLOYD & CARR FINANCIAL CO. -CFTC Docket No. 77-6

-Registration as a commodity trading advisor revoked.

LLOYD, CARR & COMPANY -CFTC Docket No. 77-6

-Application for registration as a futures commission merchant is denied.

LOEWINGER, ROBERT -CFTC Docket No. 81-5

-Application for registration as an associated person of a futures commission merchant denied.

LONDON COMMODITY HOUSE, INC. -CFTC Docket No. 77-4

-Application for registration as a futures commission merchant denied.

-Registration as a commodity trading advisor revoked.

LONDON FINANCIAL, INC. -CFTC Docket No. 97-12

NFA-ID No. 0218145

*-Shall comply with the undertaking never to apply for registration with the Commission in any capacity or to seek exemption from registration.

*-Shall comply with the undertaking never to engage in any activity that requires registration with the Commission, including, but not limited to, directing any current or prospective client's commodity interest account; soliciting, accepting or receiving any funds, revenue, or other property from any person, or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.

*-Shall comply with the undertaking never to act as a principal, agent, or officer of any person registered, exempted from registration or required to be registered with the Commission.

LONDON FINANCIAL, INC. -CFTC Docket No. 97-12 (continued)

- *-Prohibited from trading on or subject to the rules of any contract market, and all contract markets are directed to refuse its trading privileges for a period of three (3) years through September 4, 2003.

LOPEZ, RAY P. -CFTC Docket No. 79-41

- Registration as an associated person of a futures commission merchant revoked.

LOVE, RICHARD S. -CFTC Docket No. 94-2

NFA-ID No. 0131934 ; 0209170

- Registrations with the Commission as a commodity pool operator and a commodity trading advisor are revoked.

LOWRANCE, RICHARD M. -CFTC Docket No. SD 91-8

- Registration with the Commission as a floor broker revoked.

LUGER, DAVID ALAN -CFTC Docket No. 97-4

NFA-ID No. 0098009

- *-Registration with the Commission as an associated person is revoked.
- *-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.
- *-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

LYNCH, NORBERT C. -CFTC Docket No. 81-15

- Registration as an associated person of a futures commission merchant revoked.
- All pending applications for registration in any capacity denied.
- Prohibited from trading on or subject to the rules of any contract market.

LYNNEWOOD EXPORT CORPORATION -CFTC Docket No. 77-15

-Prohibited from trading on or subject to the rules of any contract market.

MACLEOD, WINFORD -CFTC Docket No. 87-12

NFA-ID No. 0070011

-Comply with undertaking not to seek registration with the Commission in any capacity.

MAHAN, CAROLYN SUE -CFTC Docket No. 79-9

-Registration as an associated person of a futures commission merchant denied.

MAHAN, CAROLYN SUE -CFTC Docket No. 78-46

-Registration as an associated person of a futures commission merchant denied.

MAKRIS, GEORGE F. -CFTC Docket No. 78-23

-Registration as an associated person of a futures commission merchant denied.

MARCH, ARIC H. -CFTC Docket No. 91-4

NFA-ID No. 0082477

-Comply with undertaking not to apply for registration with the Commission in any capacity.

-Registration with the Commission as a floor broker is revoked.

MARISIE, RICHARD ANTHONY -CFTC Docket No. 99-17

NFA-ID No. 0195498

*-Shall comply with the undertaking not to directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission for a period of two (2) years through April 9, 2002.

MARISIE, RICHARD ANTHONY -CFTC Docket No. 99-17 (continued)

- *-Shall comply with the undertaking not to directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission or over any person, whether required to be registered with the Commission or not, involved in the execution, allocation, writing, receipt, or transmission of orders for futures contracts or options on futures contracts, other than for his own account for a period of two (2) years through April 9, 2002.
- *-Shall comply with the undertaking not to act in any capacity, whether registration with the Commission is required or not, which involves the execution, allocation, writing, receipt, or transmission of orders for futures contracts or options on futures contracts, other than for his own account unless subject to certain restrictions for a period of two (2) years through April 9, 2002.

MARKS, LOUIS H. -CFTC Docket No. 87-11

- Comply with undertaking not to seek registration with the Commission in any capacity.
- Prohibited from trading on or subject to the rules of any contract market.

MARREN, JAMES MICHAEL -CFTC Docket No. 93-16

NFA-ID No. 0029204

- Prohibited from trading for any account in which he has a direct or indirect interest on any contract market and all contract markets shall refuse him trading privileges for a period of five (5) years through July 27, 2002.
- Registration with the Commission as a floor broker is revoked.

MARRON, PETER S. -CFTC Docket No. 86-6

NFA-ID No. 0046011

- Registration as an associated person revoked.
- Prohibited from trading on or subject to the rules of any contract market for a period of ten(10) years, through April 2, 2003.

MARTIN, MICHAEL RICHARD -CFTC Docket No. 00-26

NFA-ID No. 0231670

- *-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of one (1) year through August 6, 2001.
- *-Shall not directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission for a period of one (1) year through August 6, 2001.
- *-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission or over any person, whether required to be registered with the Commission or not, involved in the writing, receipt, or transmission of orders, and/or the completion or processing of order tickets, for futures contracts or options on futures contracts, other than for his own account for a period of one (1) year through August 6, 2001.
- *-Shall not act in any capacity, whether registration with the Commission is required or not, which involves the writing, receipt, or transmission of orders, and/or the completion or processing of order tickets, for futures contracts or options on futures contracts, other than for his own account subject to certain conditions for a period one (1) year through August 6, 2001.

MASSARO, JAMES W. -CFTC Docket No. 83-34

- Prohibited from trading on or subject to the rules of any contract market.

MATHAS, PAUL E. -CFTC Docket No. 79-45

- Registration as an associated person of a futures commission merchant denied.

MATROS, STUART -CFTC Docket No. 76-20

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

MATTHEWS, JOHN -CFTC Docket No. 94-13

- Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.
- Comply with undertaking not to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.
- Comply with undertaking never to seek or accept authority to direct and never to direct, the commodity interest trading of another.

MATTOX, MARCUS -CFTC Docket No. 76-20

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

MAYE COMMODITIES CORP. -CFTC Docket No. 92-21

- *-Permanently prohibited from trading on or subject to the rules of any contract market.

MAYER, BARRY -CFTC Docket No. 92-21

NFA-ID No. 0013342

- *-Registration with the Commission as a floor broker is revoked.
- *-Prohibited from trading on or subject to the rules of any contract market for a period of ten (10) years through January 19, 2010.

MAYER, LEON -CFTC Docket No. 78-60

- Registration as a floor broker revoked.

MAYER, SOLOMON -CFTC Docket No. 92-21

NFA-ID No. 0059045

- *-Registration with the Commission as a floor broker is revoked.
- *-Permanently prohibited from trading on or subject to the rules of any contract market.

MAYERS, TERI LYNN -CFTC Docket No. 89-25

NFA-ID No. 0231808

-Comply with undertaking never to apply for registration with the Commission in any capacity.

MAYRSOHN, CASPER -CFTC Docket No. 77-15

-Prohibited from trading on or subject to the rules of any contract market.

MAZZARA, FRANK JOHN -CFTC Docket No. 93-2

NFA-ID No. 0085104

-Registration with the Commission as a floor broker is revoked.

MCCAFFERY, GEORGE -CFTC Docket No. 77-4

-Application for registration as an associated person of a futures commission merchant denied.

MCCOLLUM, JOHN J. -CFTC Docket No. 97-14

NFA-ID No. 0190783

-Shall not apply for registration with the Commission in any capacity for a period of five (5) years through August 12, 2002; and for a period of seven (7) years through August 12, 2004, not accept any position or duties which involve the supervision of persons who trade for other persons, or persons who solicit customers, or persons who offer advice, in connection with commodity interest accounts, derivatives, or other instruments regulated by the Commission.

MCCORKELL, GARY LYN -CFTC Docket No. 94-12

NFA-ID No. 0036754

-Prohibited from trading directly or indirectly on or subject to the rules of any contract market for his own account or for the account of any persons, interest, or entity, and all contract markets are permanently required to refuse him trading privileges.

MCDINE & ASSOCIATES -CFTC Docket No. SD 94-8

NFA-ID No. 0223905

-Registrations with the Commission as a commodity trading advisor and commodity pool operator are revoked.

MCDINE, DAVID D. -CFTC Docket No. SD 94-8

NFA-ID No. 0223906

-Registration with the Commission as an associated person is
revoked.

MCFARLIN, JOHN K., JR. -CFTC Docket No. 92-8

a/k/a MCFARLIN TRADING COMPANY

-Prohibited from trading for his own account or for any
account in which he has a direct or indirect interest, on
any contract market.

-Comply with his undertaking never to apply for registration
with the Commission in any capacity.

MCGEE, KAI K. -CFTC Docket No. SD 92-4

a/k/a MCGEE, DON R.

NFA-ID No. 0196578 ; 0225254

-Registrations as a commodity trading advisor, commodity
pool operator and as an associated person revoked.

MCGHEE, FRANK H. -CFTC Docket No. 83-4

-Comply with his undertaking never to re-apply for
registration with the Commission in any capacity.

MCGIVNEY, JOSEPH P. -CFTC Docket No. SD-87-3

NFA-ID No. 0056568

CFTC-ID No. 0764353

-Registration as an associated person of a futures
commission merchant and as a commodity pool operator are
revoked.

MCGOLDRICK, NEIL T. -CFTC Docket No. 91-3

NFA-ID No. 0034448

-Registration with the Commission as a floor broker is
revoked.

-Prohibited from trading on or subject to the rules of any
contract market and all contract markets shall refuse him
trading privileges for a period of ten (10) years through
August 27, 2007.

MCGUINNESS, EVELYN M. -CFTC Docket No. 78-34

-Registration as an associated person of a futures commission merchant denied.

MCPHERSON, JOHN A. -CFTC Docket No. 99-6

*-Shall comply with undertaking not to apply for registration or seek exemption from registration with the Commission in any capacity under the Act, and not to engage in any activity for which registration or exemption from registration with the Commission is required under the Act or act as a principal, employee, officer or agent of any person registered, exempted from registration or required to be registered under the Act.

MEGATECH FINANCIAL SERVICES, INC. -CFTC Docket No. 85-26

-Lapsed registrations as a commodity pool operator and commodity trading advisor revoked.

MENKES, MICHAEL S. -CFTC Docket No. 78-41

-Registration as an associated person of a futures commission merchant revoked.

MENKES, MICHAEL S. -CFTC Docket No. 80-15

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

MERWIN, JOHN -CFTC Docket No. 76-20

-Prohibited from trading on or subject to the rules of any contract market.

MICHELETTO, JAMES D. -CFTC Docket No. SD 90-1

NFA-ID No. 0220086

-Application for registration as a floor broker denied.

MICHNO, KAZIMIR -CFTC Docket No. 82-27

a/k/a KAZIMIR MISHNO, K. MICHNO, C. MICHNO

-Registration as an associated person of a futures commission merchant revoked.

MICHNO, KAZIMIR -CFTC Docket No. 90-16

NFA-ID No. 0052427

CFTC-ID No. 0448202

-Prohibited from trading on or subject to the rules of any contract market.

MIDWEST COMMODITY CORP. -CFTC Docket No. 83-40

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

MILLBRAE SUN HING BULLION LTD. -CFTC Docket No. 92-9

-Prohibited from trading on or subject to the rules of any designated contract market.

-Comply with its undertaking never to seek registration with the Commission in any capacity.

MILLER, HOWARD MAYER -CFTC Docket No. 92-4

NFA-ID No. 0036191

-Registration with the Commission as an associated person is revoked.

-Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

MIMS, GERALD D. -CFTC Docket No. 93-7

-Comply with undertaking never to seek registration with the Commission in any capacity, and never to act as a principal, officer or director of a firm or entity either registered with the Commission or acting in a capacity that would require registration with the Commission.

MISHRICK, SHUKRY -CFTC Docket No. 83-55

-Registration as an associated person of a futures commission merchant revoked.

MITSOPOULOS, CONSTANTINE -CFTC Docket No. 99-17

NFA-ID No. 0193304

MITSOPOULOS, CONSTANTINE -CFTC Docket No. 99-17 (continued)

- *-Shall comply with the undertaking never to apply for registration or claim exemption from registration with the Commission in any capacity.
- *-Shall comply with the undertaking never to engage in any activity requiring such registration or exemption from registration.
- *-Shall comply with the undertaking never to act as a principal, officer or employee of any person registered, exempt from registration or required to be registered with the Commission.
- *-Shall comply with the undertaking never to act in any capacity, whether or not registration with the Commission is required, which involves the execution, allocation, writing, receipt or transmission of orders or completion or processing of order tickets for futures or options on futures contracts (other than for Mitsopoulos' own account).

MITTELSTADT, BRUCE W. -CFTC Docket No. 92-7

NFA-ID No. 0030428

-Registration with the Commission as a floor broker is hereby revoked.

MIZRAHI, SAM -CFTC Docket No. 83-7

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to apply for registration in any capacity in the future.

MIZRAHI, SAM -CFTC Docket No. 82-39

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to apply for registration in any capacity in the future.

MONIESON, BRIAN P. -CFTC Docket No. 89-1

NFA-ID No. 0042528

-Registration as a floor broker revoked.

MONTFORT, JAMES B. -CFTC Docket No. SD 91-4

NFA-ID No. 0230560

-Comply with undertaking to withdraw its registration as a commodity trading advisor.

MONTFORT, JAMES B., III. -CFTC Docket No. SD 91-4

NFA-ID No. 0195608

-Comply with undertaking to withdraw his registration as an associated person.

MOORE, STANLEY EDWARD -CFTC Docket No. 00-31

NFA-ID No. 0270054

*-Registration with the Commission as a commodity trading advisor is suspended for a period of six (6) months through March 5, 2001.

*-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including himself, of any commodity futures or options trading system or advisory service.

*-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

MORAN, JOHN -CFTC Docket No. 82-4

-Registration as an associated person and a commodity trading advisor revoked.

-Prohibited from trading on or subject to the rules of any contract market.

MOSKOWITZ, RICHARD ALLEN -CFTC Docket No. SD 90-3

NFA-ID No. 0062830

-Registration as a floor broker revoked.

MOSKOWITZ, RICHARD ALLEN -CFTC Docket No. SD 94-7

NFA-ID No. 0062830

-Application for registration as a floor broker is denied.

MOSKY, ROBERT DAVID -CFTC Docket No. 91-19

NFA-ID No. 0070010

-Registration as a floor broker is revoked.

-Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

MOSKY, ROBERT DAVID -CFTC Docket No. SD 93-16

NFA-ID No. 0070010

-Comply with undertaking to withdraw his application for registration as a floor trader and to take all appropriate steps to ensure that the no action status conferred on him is terminated.

MOUNT, STEPHEN E. -CFTC Docket No. 80-30

-Registration as an associated person of a futures commission merchant revoked.

-Shall never apply for registration with the Commission in any capacity.

MOUNT, STEPHEN E. -CFTC Docket No. 80-36

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

MSP TRADING, INC. -CFTC Docket No. 90-14

NFA-ID No. 0090321

CFTC-ID No. 1079270

-Comply with undertaking not to apply for registration with the Commission in any capacity.

MUELLER, MARK HUGO -CFTC Docket No. 00-26

NFA-ID No. 0190379

*-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of one (1) year through August 6, 2001.

MUELLER, MARK HUGO -CFTC Docket No. 00-26 (continued)

- *-Shall not directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission for a period of one (1) through August 6, 2001.
- *-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission or over any person, whether required to be registered with the Commission or not, involved in the writing, receipt, or transmission of orders, and/or the completion or processing of order tickets, for futures contracts or options on futures contracts, other than for his own account for a period of one (1) year through August 6, 2001.
- *-Shall not act in any capacity, whether registration with the Commission is required or not, which involves the writing, receipt, or transmission of orders, and/or the completion or processing of order tickets, for futures contracts or options on futures contracts, other than for his own account subject to certain conditions for a period of one (1) year through August 6, 2001.

MULLER, JOHN J. -CFTC Docket No. 77-22

- Registration as an associated person of a futures commission merchant revoked.

MULLER, JOHN J. & ASSOCIATES, INC. -CFTC Docket No. 77-22

- Registration as a futures commission merchant denied.

MULLIGAN, SUSAN -CFTC Docket No. 89-10

NFA-ID No. 0182849

- Comply with undertaking not to seek registration with the Commission in any capacity and not henceforth act in the capacity of any classification of registrant under the Act, whether such action requires registration or not.

MULTI-NATIONAL HOLDING CORPORATION -CFTC Docket No. 83-5

- Registration as a commodity trading advisor and a commodity pool operator revoked.
- Prohibited from trading on or subject to the rules of any contract market.

MULTI-STATE ADVISORY CORPORATION -CFTC Docket No. 82-4

-Registration as a commodity trading advisor revoked.

MULTIVEST OPTIONS, INC. -CFTC Docket No. 90-11

NFA-ID No. 0001646

CFTC-ID No. 0017617

-Comply with undertaking never to seek registration with the Commission in any capacity.

-Registration as a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

MUNSON, JOHN -CFTC Docket No. 77-4

-Registration as an associated person of a futures commission merchant revoked.

-Registration as a commodity trading advisor revoked.

MURPHY, JAMES T. -CFTC Docket No. 82-22

-Registration as a commodity trading advisor revoked.

-Prohibited from registering with the Commission in any capacity.

MURPHY, MICHAEL P. -CFTC Docket No. 92-24

NFA-ID No. 0210415

-Registration as an associated person revoked.

-Comply with undertaking never to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration.

MURPHY, TIMOTHY R. -CFTC Docket No. 92-24

NFA-ID No. 0075561 ; 0211836

-Registrations as an associated person and a commodity trading advisor revoked.

-Comply with undertaking never to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration.

MURPHY, TIMOTHY R. -CFTC Docket No. 92-24 (continued)

-Prohibited from trading on or subject to the rules of any contract market for a period of ten(10) years, through February 2003.

MURPHY, WILLIAM J., III. -CFTC Docket No. 92-24

NFA-ID No. 0015550

-Registration as an associated person revoked.

-Comply with undertaking never to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration.

-Prohibited from trading or or subject to the rules of any contract market for a period of ten(10) years through February 17, 2003.

MYSKOWSKI, JOHN J. -CFTC Docket No. 90-12

NFA-ID No. 0198994

-Registration as a floor broker is revoked.

-Comply with the undertaking not to apply for registration with the Commission in any capacity.

NAGY, ROBERT A. -CFTC Docket No. 84-28

-Expired registration as an associated person of a futures commission merchant revoked.

NANAY, MICHAEL A. -CFTC Docket No. 88-14

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

NATIONAL CENTURY FINANCIAL CORPORATION -CFTC Docket No. 83-48

-Registration as a commodity trading advisor and a commodity pool operator revoked.

NATIONAL COMMODITY EXCHANGE OF NORTH AMERICA, INC.

-CFTC Docket No. 80-36

-Registration as a futures commission merchant revoked.

NATIONAL COMMODITY EXCHANGE OF NORTH AMERICA, INC.

-CFTC Docket No. 80-36 (continued)

-Prohibited from trading on or subject to the rules of any contract market.

NATIONAL MONETARY FUND, INC. -CFTC Docket No. 85-17

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

-Comply with undertaking not to seek registration with the Commission in any capacity.

NAULIN, DAVID O. -CFTC Docket No. 92-6

NFA-ID No. 0211589

-Comply with undertaking never to seek registration with the Commission in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

NELSON, GEORGE PHILIP -CFTC Docket No. 81-13

-Registration as an associated person of a futures commission merchant revoked.

NELSON, GHUN & ASSOCIATES -CFTC Docket No. 81-13

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

NESBIT, H. PAUL -CFTC Docket No. 81-9

-Application for registration as an associated person of a futures commission merchant denied.

NESBIT, H. PAUL -CFTC Docket No. 81-17

-Application for registration as a commodity trading advisor denied.

NESBIT, H. PAUL -CFTC Docket No. 81-21

-Prohibited from trading on or subject to the rules of any contract market.

NORTHERN FINANCIAL CORPORATION -CFTC Docket No. 77-2

-Registration as a futures commission merchant revoked.

NORTHERN, LOVELL B., III. -CFTC Docket No. 93-3

NFA-ID No. 0034558

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges for a period of seven(7) years, through August 7, 2001.

-Comply with undertaking not to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

-Comply with undertaking not to act in any capacity as an associated person, futures commission merchant, leverage transaction merchant, commodity pool operator, commodity trading advisor, introducing broker, floor trader, or floor broker, or as an agent or officer of any person registered or required to be registered as an associated person, futures commission merchant, leverage transaction merchant, commodity pool operator, commodity trading advisor, introducing broker, floor trader, or floor broker, or to otherwise act in any capacity which causes him to accept or hold customer funds.

NORWELL TRADE WINDS, LTD. -CFTC Docket No. 82-1

-Prohibited permanently from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor and a commodity pool operator revoked.

NOWAK, JAMES D. -CFTC Docket No. 91-1

NFA-ID No. 0072441

-Comply with undertaking not to apply for registration with the Commisision in any capacity.

-Registration as a floor broker is revoked.

O'BRIEN, FRANCIS J. -CFTC Docket No. 84-8

-Registration as a floor broker revoked.

O'CONNE, PHILIP M. -CFTC Docket No. 83-59

NFA-ID No. 0056760

CFTC-ID No. 0487399

-Registration as a floor broker is revoked.

O'MALLEY, STAR LYNN -CFTC Docket No. 84-41

-Prohibited from trading on or subject to the rules of any contract market.

OAKWOOD ASSET MANAGEMENT, INC. -CFTC Docket No. SD 95-16

NFA-ID No. 0218447

-Registrations with the commission as a commodity trading advisor and as a commodity pool operator are revoked.

OLEXSAK, STEPHEN J. -CFTC Docket No. SD 88-5

NFA-ID No. 0049854

CFTC-ID No. 0884317

-Registration as a floor broker denied.

OSADCHY, ANATOLY, CPA. -CFTC Docket No. 99-2

NFA-ID No. 0220104 ; 0220101

-Shall comply with undertaking not to apply to the Commission for reinstatement.

PACIFIC COMMODITIES EXCHANGE, INC. -CFTC Docket No. 76-17

-All contract market designations heretofore granted respondent by the Commission, or its predecessors administering the Commodity Exchange Act, revoked with respondent's consent.

PALERMO FINANCIAL SYNDICATE -CFTC Docket No. 85-9

-Prohibited from trading on or subject to the rules of any contract market.

PARAGON FUTURES ASSOCIATION -CFTC Docket No. 88-18

- Comply with undertaking never to seek registration with the Commission in any capacity.
- Prohibited from trading on or subject to the rules of any contract market.

PARDES, ABRAHAM -CFTC Docket No. 79-2

a/k/a MIKE PARDES

- Application for registration as an associated person of a futures commission merchant denied.

PARK, JOHN KI -CFTC Docket No. 00-24

NFA-ID No. 0278960

- *-Shall not apply for registration or seek exemption from registration with the Commission in any capacity, and shall not engage in any activity requiring such registration or exemption from registration, or act as a principal, agent, officer or employee of any person registered, exempted from registration or required to be registered with the Commission; this includes, but is not limited to soliciting, accepting or receiving any funds, revenue, or other property from any person, giving advice for compensation, or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts for a period of six (6) months through December 29, 2000.
- *-Shall not directly or indirectly act in as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission for a period of five (5) years through June 28, 2005.
- *-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission for a period of five (5) years through June 28, 2005.

PARUCH, JAMES C. -CFTC Docket No. 85-25

NFA-ID No. 0053884

- Registration as a floor broker is hereby revoked.

PARZ, DANIEL M. -CFTC Docket No. 90-13

NFA-ID No. 0033263

-Registration as a floor broker revoked.

-Comply with undertaking not to apply for registration with the Commission in any capacity.

PASHBY, TERRY -CFTC Docket No. 76-20

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

PATTEN, HARRY O., III. -CFTC Docket No. 89-16

NFA-ID No. 0005280

-Registration as a floor broker revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

PEABODY TRADING CORPORATION OF BOSTON -CFTC Docket No. 81-15

-Prohibited from trading on or subject to the rules of any contract market.

-Registrations as a commodity trading advisor and as a commodity pool operator revoked.

-Any pending applications for registration in any capacity are denied.

PEARSON, LAWRENCE F. -CFTC Docket No. 83-63

-Registration as a floor broker revoked.

PELLAS, S.F. & COMPANY -CFTC Docket No. 78-62

-Registration as a futures commission merchant revoked.

PELTON STREET PUBLISHING, INC. -CFTC Docket No. SD 00-06

NFA-ID No. 0290154

*-Registration with the Commission as a commodity trading advisor is revoked.

PENTECOSTE, JOSEPH C. -CFTC Docket No. 87-4

- Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.
- Comply with undertaking never to be an officer, director, shareholder, employee or agent of, perform work for, or be affiliated with or receive any form of compensation, either directly or indirectly, from any Commission registrant.

PERK, GEORGE J., JR. -CFTC Docket No. 95-15

NFA-ID No. 0062924

- Prohibited from trading on all contract markets.
- Registration with the Commission as an associated person is suspended automatically until Perk shows to the satisfaction of the Commission that payment of the full amount of required restitution with interest thereon has been made.

PERLMUTTER, ALFRED -CFTC Docket No. 79-33

- Prohibited from trading on or subject to the rules of any contract market.
- Registration as an associated person of a futures commission merchant revoked.

PESEK, MICHAEL J. -CFTC Docket No. 87-13

NFA-ID No. 0025910
CFTC-ID No. 0510231

- Prohibited from trading on or subject to the rules of any contract market.

PESKIN, MICHAEL R. -CFTC Docket No. 89-1(A)

NFA-ID No. 0037939

- Registration with the Commission as a commodity trading advisor and as an associated person are revoked.
- Prohibited from trading on or subject to the rules of any contract market.

PETERS, HARLEY -CFTC Docket No. 80-27

- Permanently prohibited from trading on or subject to the rules of any contract market.

PETERS, HARLEY -CFTC Docket No. 80-27 (continued)

-Prohibited from filing any application for registration, in any capacity with the Commission.

PETROPLEX COMMODITIES CORPORATION -CFTC Docket No. 87-7

-Prohibited from trading on or subject to the rules of any contract market.

PHILLIPS, JAMES H. -CFTC Docket No. 83-61

-Registration as a floor broker revoked.

PHILLIPS, WILLIAM F. -CFTC Docket No. 87-7

-Prohibited from trading on or subject to the rules of any contract market.

PIAZZA, BRUCE A. -CFTC Docket No. 86-6

NFA-ID No. 0040888

-Registration as an associated person revoked.

-Prohibited from trading on or subject to the rules of any contract market for a period of ten(10) years, through April 2, 2003.

PICCOLO, JOHN V. -CFTC Docket No. SD 89-6

NFA-ID No. 0219427

-Registration as a floor broker denied.

PICKRON, THOMAS A. -CFTC Docket No. 78-45

-Registration as an associated person of a futures commission merchant revoked.

PIETSCH, EUGENE HAROLD, JR. -CFTC Docket No. 82-40

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to file an application for registration with the Commission in any capacity.

PLATONOFF, VICTOR -CFTC Docket No. 78-48

-Registration as an associated person of a futures commission merchant revoked.

PLOSHNICK, GARY RODGER -CFTC Docket No. 84-23

a/k/a GARY BRUCE

-Registration as an associated person of a futures
commission merchant revoked.

POLIVNICK, MARVIN JULIUS -CFTC Docket No. 81-25

-Registration as an associated person of a futures
commission merchant denied.

POLLAK, HENRY A. -CFTC Docket No. 80-32

-Permanently prohibited from trading on or subject to the
rules of any contract market.

-Comply with undertaking never to apply for registration
with the Commission in any capacity.

POLLAK, HENRY A. & CO. -CFTC Docket No. 80-32

-Permanently prohibited from trading on or subject to the
rules of any contract market.

-Comply with undertaking never to apply for registration
with the Commission in any capacity.

POMERANTZ, MICHAEL S. -CFTC Docket No. 90-14

NFA-ID No. 0009803

CFTC-ID No. 0520173

-Comply with undertaking not to apply for registration with
the Commission in any capacity.

-Registration with the Commission is revoked.

PRATT, RICHARD J. -CFTC Docket No. 78-42

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

PRECIOUS METALS ASSOCIATES, INC. -CFTC Docket No. 79-13

-Registration as a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

PRINCETON COMMODITY CORP. -CFTC Docket No. 82-3

-Registration as a commodity trading advisor and a commodity pool operator revoked.

PUGLIESE, MICHAEL -CFTC Docket No. 86-34

NFA-ID No. 0013063

CFTC-ID No. 0750560

-Registration as an associated person of a futures commission merchant is revoked.

-Prohibited from trading on or subject to the rules of any contract market.

PULLEN, LARRY W. -CFTC Docket No. 89-20

NFA-ID No. 0178764

-Registration as an associated person of a futures commission merchant revoked.

PULLMAN, JAMES -CFTC Docket No. 76-20

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an associated person of a futures commission merchant revoked.

PUNCERELLI, KENNETH J. -CFTC Docket No. 84-27

-Registration as an associated person of a futures commission merchant revoked.

PYNE COMMODITIES CORP. -CFTC Docket No. 82-23

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as a futures commission merchant revoked.

QUINN & COMPANY, INC. -CFTC Docket No. 83-41

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

QUINN, TERRANCE -CFTC Docket No. 83-41

-Prohibited from trading on or subject to the rules of any contract market.

QUITER, RICHARD J., II. -CFTC Docket No. 92-26

NFA-ID No. 0015635

-Comply with undertaking not to apply for registration with the Commission in any capacity at any time.

-Comply with undertaking not to act in any capacity as a futures commission merchant ("FCM") or a commodity pool operator ("CPO"), or as an agent of any person registered or required to be registered as an FCM or a CPO, or to otherwise act in any capacity which causes or requires him to accept or hold customer funds.

RAPAPORT, DAVID J. -CFTC Docket No. 84-31

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

REDDICK, CHARLES -CFTC Docket No. 76-20

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an associated person of a futures commission merchant revoked.

REDDY, STEPHEN FRANCIS -CFTC Docket No. 92-19

NFA-ID No. 0046079

-Prohibited from trading on or subject to the rules of any contract market for a period of ten (10) years through January 19, 2010.

-Registration with the Commission as a floor broker is revoked.

REEVES, THOMAS G. -CFTC Docket No. 95-15

NFA-ID No. 0027585

-Prohibited from trading on all contract markets.

REEVES, THOMAS G. -CFTC Docket No. 95-15 (continued)

-Registration with the Commission as an associated person is suspended until Reeves shows to the satisfaction of the Commission that payment of the full amount of required restitution with interest thereon has been made.

REFLEX ASSET MANAGEMENT CORP. -CFTC Docket No. SD 99-8

NFA-ID No. 0266576

-Registrations with the Commission as a commodity pool operator and a commodity trading advisor are revoked.

REHN, MARK E. -CFTC Docket No. 95-10

NFA-ID No. 0215413

-Registration with the Commission as an associated person is revoked.

REIDY, WILLIAM J. -CFTC Docket No. 91-3

NFA-ID No. 0064091

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges for a period of ten (10) years through August 27, 2007.

REIS, SEYMOUR -CFTC Docket No. 90-25

NFA-ID No. 0095285

CFTC-ID No. 1093022

-Registration with the Commission as an associated person be revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity or act in any capacity which requires registration with the Commission.

REYNOLDS, RICKEY W. -CFTC Docket No. 87-4

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Never to trade a commodity interest account for any organization or for any person other than himself.

REYNOLDS, RICKEY W. -CFTC Docket No. 87-4 (continued)

- Never to be an officer, director, shareholder, or employee or agent of, perform work for, be associated with, or receive any form of compensation, either directly or indirectly, from any Commission registrant.

REYNOLDS, RICKEY W. -CFTC Docket No. 87-19

- Comply with undertaking never to seek registration of any kind with either the Commission or with the National Futures Association.

- Comply with the undertaking never to trade a commodity interest account for any organization or for any person other than himself.

- Comply with undertaking never to be an officer, director, shareholder, or employee or agent of, perform work for, be associated with, or receive any form of compensation, either directly or indirectly, from any Commission registrant.

RHEE, ANDREW DAVID -CFTC Docket No. SD 99-8

NFA-ID No. 0266577

- Registration with the Commission as an associated person is revoked.

RHOADES, DONALD -CFTC Docket No. 85-17

- Registrations as an associated person of a futures commission merchant, a commodity pool operator and a commodity trading advisor are revoked.

- Prohibited from trading on or subject to the rules of any contract market other than for his own account, unless registration is granted him by the Commission as an associated person.

RICHARDS, THOMAS H. -CFTC Docket No. 95-12

NFA-ID No. 0218448

- Registration with the Commission as an associated person is revoked.

- Comply with undertaking not to apply for registration with the Commission in any capacity for a period of ten(10) years through June 5, 2005.

RICHMAN, JEFF S. -CFTC Docket No. 92-23

NFA-ID No. 0195576

-Registration as an associated person revoked.

-Comply with undertaking never to seek registration with the Commission in any capacity.

-Comply with undertaking never to be an officer, director, principal, employee, or agent of any Commission registrant, and never perform work for, be associated with, or receive, either directly or indirectly, any form of compensation from any Commission registrant.

RICHMAN, JEROME -CFTC Docket No. 78-12

a/k/a JEROME RICHMOND

-Registration as an associated person of a futures commission merchant denied.

RICHTER, ALFRED ROBERT -CFTC Docket No. 81-12

-Application for registration as a commodity trading advisor denied.

RIETZ, CHARLES -CFTC Docket No. 81-18

-Any registrations he holds with the Commission are revoked and that he withdraw any and all applications pending with the Commission.

RILEY, MARTIN J., JR. -CFTC Docket No. SD 93-10

NFA-ID No. 0194187

-Registration with the Commission as a floor broker revoked.

RILEY, THE EARL K. COMPANY -CFTC Docket No. 78-42

-Registration as a futures commission merchant revoked.

RISSE, ANDREW F. -CFTC Docket No. 78-5

-Registration as an associated person of a futures commission merchant denied.

RITTER, THOMAS H. -CFTC Docket No. 77-8

-Lapsed floor broker registration revoked and his pending application for registration as a floor broker denied.

RITTER, THOMAS H. -CFTC Docket No. 80-11

-Lapsed floor broker registration revoked and his pending application for registration as a floor broker denied.

RODGER & SPARKS, INC. -CFTC Docket No. SD 92-7

NFA-ID No. 0201912 ; 0089356

-Registration as an introducing broker revoked.

RODGER, REID L. -CFTC Docket No. SD 92-7

NFA-ID No. 0020546

-Registration as an associated person revoked.

RODIN, ALAN H. -CFTC Docket No. 76-2

-Registration as an associated person of a futures commission merchant denied.

RODRIGUEZ, ROBIN C. -CFTC Docket No. 95-9

NFA-ID No. 0048693

-Shall undertake to withdraw his registration as an associated person, and to apply for registration as an associated person except as an associated person of an introducing broker.

-Shall undertake not to act in any capacity as a principal, associated person, or as an, agent or officer of any person and/or entity registered or required to be registered as a futures commission merchant.

RODRIGUEZ, ROBIN C. -CFTC Docket No. 95-8

NFA-ID No. 0048693

-Shall undertake to withdraw his registration as an associated person, and not to apply for registration as an associated person except as an associated person of an introducing broker.

-Shall undertake not to act in any capacity as a principal, associated person, or as an agent or officer of any person and/or entity registered or required to be registered as a futures commission merchant.

ROGERS, DAVID E. -CFTC Docket No. 80-3

-Registration as a commodity trading advisor and a commodity pool operator revoked.

ROGERS, RICHARD S., JR. -CFTC Docket No. 89-7

NFA-ID No. 0078210

CFTC-ID No. 0550944

-Comply with his undertakings not to henceforth seek registration with the Commission in any capacity or to act in the capacity of any classification of registrant under the Act, whether such action requires registration or not.

ROMERO, FRED A. -CFTC Docket No. 84-30

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

ROSE, JAMES H. -CFTC Docket No. 79-49

-Registration as an associated person of a futures commission merchant denied.

ROSEN, ALAN -CFTC Docket No. 80-15

-Registration as an associated person of a futures commission merchant revoked.

ROTHLIN, ROBERT M. -CFTC Docket No. 78-54

-Registration as an associated person of a futures commission merchant revoked.

ROTTMAN, SEYMOUR -CFTC Docket No. 78-43

-Registration as an associated person of a futures commission merchant revoked.

ROUSSO, DAVID LOUIS -CFTC Docket No. 91-3

NFA-ID No. 0049099

-Registration with the Commission as a floor broker is revoked.

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges for a period of ten (10) years through August 27, 2007.

RUBEL, ROBERT JACK -CFTC Docket No. 98-15

NFA-ID No. 0241377 ; 0270132

-Prohibited from trading for his own account or for any account in which he has a direct or indirect interest, on any contract market, and all contract markets shall refuse him trading privileges for a period of five (5) years through August 23, 2003.

-Registrations with the Commission as an associated person and as a commodity trading advisor under the name of Robert J. Rubel, C.T.A. d/b/a Mt. Olympus Trading are revoked.

RUDMAN, KEITH M. -CFTC Docket No. 89-5

NFA-ID No. 0083046

-Registration as a floor broker revoked.

RUROEDE, KARL F. -CFTC Docket No. 78-66

-Registration as an associated person of a futures commission merchant denied.

RYAN, JOHN HAWLEY -CFTC Docket No. 91-10 & SD 93-17

NFA-ID No. 0076228

-Registration as a floor broker is revoked.

-Application for registration with the Commission as a floor trader is denied.

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges for a period of six (6) years through May 26, 2003.

SAHAROFF, PAUL -CFTC Docket No. 78-48

-Registration as an associated person of a futures commission merchant revoked.

SALMON, HORACE G. -CFTC Docket No. 80-19

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

-Comply with undertaking not to seek registration with the Commission in any capacity.

SALVAGE, MINDY S. -CFTC Docket No. 82-27

-Registration as an associated person of a futures commission merchant revoked.

SAMEROFF, PHILIP A. -CFTC Docket No. 78-63

-Registration as an associated person of a futures commission merchant denied.

SAN FRANCISCO SUN HING BULLION LTD. -CFTC Docket No. 92-9

-Prohibited from trading on or subject to the rules of any designated contract market.

-Comply with its undertaking never to seek registration with the Commission in any capacity.

SANDERS, CHARLES A. -CFTC Docket No. 83-40

-Registration as an associated person of a futures commission merchant revoked.

-Comply with agreement not to seek registration with the Commission or the National Futures Association in any capacity.

SARMAD, SYED -CFTC Docket No. 84-39

-Registration as an associated person of a futures commission merchant denied.

SARMIENTO, HENRY -CFTC Docket No. 78-18

-Prohibited from trading on or subject to the rules of any contract market.

SARNOFF, PAUL -CFTC Docket No. 88-32

NFA-ID No. 0038434

CFTC-ID No. 0569054

-Prohibited from trading for his own account or for any account in which he has a direct or indirect interest, on any contract market, and all contract markets shall permanently refuse Sarnoff trading privileges.

-Comply with undertaking never to seek registration with the Commission in any capacity.

SAVAGE, JACK W. -CFTC Docket No. 76-1

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor denied.

SAVAGE, JACK W. -CFTC Docket No. 76-20

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor denied.

SAVAGE, JACK W. -CFTC Docket No. 82-23

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor denied.

SAVICZ, JERRY L. -CFTC Docket No. 88-18

NFA-ID No. 0072288

CFTC-ID No. 0570251

-Registration as an associated person of a futures commission merchant revoked.

SAVILLE, HERSCHELL -CFTC Docket No. 78-31

-Registration as an associated person of a futures commission merchant revoked.

SAVILLE, HERSCHELL -CFTC Docket No. 78-55

-Registration as an associated person of a futures commission merchant revoked.

SAVILLE, HERSCHELL -CFTC Docket No. 79-48

-Registration as an associated person of a futures commission merchant revoked.

SAWYER, STEVEN J. -CFTC Docket No. 83-18

NFA-ID No. 0034326

CFTC-ID No. 0570506

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him all trading privileges thereon.

SAWYER, STEVEN LEE -CFTC Docket No. 79-37

-Registration as an associated person of a futures commission merchant revoked.

SAXENA, SANJAY -CFTC Docket No. SD 96-11

NFA-ID No. 0258706

-Registration with the Commission as an associated person is revoked.

SBARBATI, VINCENT J. -CFTC Docket No. 77-7

-Application for registration as an associated person of a futures commission merchant denied.

SCHAEFFER, EUGENE E., JR. -CFTC Docket No. 76-5

-Registration as an associated person of a futures commission merchant denied.

SCHECK, DANNY L. -CFTC Docket No. 92-11 & SD 93-13

NFA-ID No. 0032904

-Application for registration with the Commission as a floor trader is denied.

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges for a period of five (5) years through July 6, 2002.

SCHIERL, R. GARY -CFTC Docket No. 87-18

-Prohibited from trading on or subject to the rules of any contract market.

SCHILLACI, ROBERT L. -CFTC Docket No. SD 89-1

NFA-ID No. 0079595

CFTC-ID No. 0574091

-Registration as a floor broker revoked.

SCHILLACI, ROBERT L. -CFTC Docket No. SD 95-3

NFA-ID No. 0079595

-Application for registration as a floor broker is denied.

SCHLEICHER, DONALD R. -CFTC Docket No. 86-6

NFA-ID No. 0013268

CFTC-ID No. 0574635

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertakings never henceforth to seek registration with the Commission in any capacity, never henceforth to act in the capacity of any classification of registrant under the Act, whether such action requires registration or not, and never to be officers, directors, or employees of any Commission registrant.

SCHLEICHER, RICHARD A. -CFTC Docket No. 86-6

NFA-ID No. 0015678

CFTC-ID No. 0574641

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertakings never henceforth to seek registration with the Commission in any capacity, never henceforth to act in the capacity of any classification of registrant under to Act, whether such action requires registration or not, and never to be officers, directors, or employees of any Commission registrant.

SCHNEIDER, SHELDON H. -CFTC Docket No. 91-9

NFA-ID No. 0084733

-Registration with the Commission as a floor broker is revoked.

-Permanently prohibited from trading for his own account or for any account in which he has a direct or indirect interest on any contract market and all contract markets shall refuse him all trading privileges.

SCHNEIDER, SHELDON H. -CFTC Docket No. SD 93-12

NFA-ID No. 0084733

-Comply with his undertaking to withdraw his application for registration as a floor trader.

SCHONDORF, JEFFREY -CFTC Docket No. 93-6

NFA-ID No. 0015390

-Registration with the Commission as a floor broker revoked.

-Comply with undertaking never to seek registration with the Commission as a floor broker and never engage in any activity requiring such registration.

SCHRIEBER, CLAUS-PETER F. -CFTC Docket No. 78-8

-Registration as an associated person of a futures commission merchant denied.

SCHRIEBER, NORMAN -CFTC Docket No. 78-18

-Prohibited from trading on or subject to the rules of any contract market.

SCHWARTZ, MARK S. -CFTC Docket No. 88-26

NFA-ID No. 0080591

CFTC-ID No. 0581147

-Prohibited from trading on or subject to the rules of any contract market.

-Comply with undertaking never to again apply for registration or for an exemption from registration, with the Commission in any capacity.

SCOTT, CHARLES DENNIS -CFTC Docket No. 88-13

-Prohibited from trading on or subject to the rules of any contract market.

SCUDIERO, ANDREW -CFTC Docket No. 97-5

NFA-ID No. 0265948

-Prohibited from trading on or subject to the rules of any designated contract market for a period of five(5) years through February 10, 2004.

SECURITIES AND COMMODITIES CORP. -CFTC Docket No. 89-26

NFA-ID No. 0002287

CFTC-ID No. 0029874

-Comply with undertaking not to apply for registration, or exemption from registration with the Commission in any capacity, and not to engage in any activity which would require such registration or exemption from registration.

SECURITIES AND COMMODITIES CORP.

-CFTC Docket No. 89-26 (continued)

-Prohibited from trading on or subject to the rules of any contract market.

SELECT SECTOR RESEARCH & MANAGEMENT, INC.

-CFTC Docket No. SD 96-11

NFA-ID No. 0258704

-Registrations with the Commission as a commodity trading advisor and a commodity pool operator are revoked.

SEMEL & COMPANY -CFTC Docket No. 91-7

NFA-ID No. 0227864

-Comply with undertaking not to apply for registration with the Commission in any capacity.

-Prohibited from trading for its own account or for any account in which it has a direct or indirect interest, and all contract markets shall refuse trading privileges.

SEMEL, PRESTON -CFTC Docket No. 91-7

NFA-ID No. 0014703

-Registration as a floor broker revoked.

-Comply with undertaking never to apply for registration with the Commission in any capacity.

SERFLING & ASSOCIATES, INC. -CFTC Docket No. 90-24

NFA-ID No. 0090451

CFTC-ID No. 1020457

-Prohibited from trading on or subject to the rules of any contract market.

SERFLING, SCOTT R. -CFTC Docket No. 90-24

NFA-ID No. 0081413

CFTC-ID No. 0778479

-Prohibited from trading on or subject to the rules of any contract market.

SETO, ROBERT G. -CFTC Docket No. 91-7

NFA-ID No. 0193643

-Registration as a floor broker revoked.

SHACKETT, ALAN J. -CFTC Docket No. 78-39

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an associated person of a futures commission merchant revoked.

SHANER TRADING PARTNERS, INC. -CFTC Docket No. SD 97-8

NFA-ID No. 0230216

-Registrations with the Commission as an introducing broker and a commodity pool operator are revoked.

SHANER, MARK STEPHEN -CFTC Docket No. SD 97-8

NFA-ID No. 0203455

-Registration with the Commission as an associated person is revoked.

SHATNER, DONALD G. -CFTC Docket No. 85-30

a/k/a DONALD G. CRUMB

-Prohibited from trading on or subject to the rules of any contract market.

SHB COMMODITIES, INC. -CFTC Docket No. 92-21

NFA-ID No. 0090363

*-Registration with the Commission as a futures commission merchant is revoked.

*-Permanently prohibited from trading on or subject to the rules of any contract market.

SHEEHAN, MICHAEL E. -CFTC Docket No. 78-26

-Application for registration as an associated person of a futures commission merchant denied.

SHELTON, HOPE S. -CFTC Docket No. 88-23

NFA-ID No. 0048685

-Registration as an associated person revoked.

SHERGIN, WALTER -CFTC Docket No. 78-48

-Registration as an associated person of a futures
commission merchant revoked.

SHORE, LON W. -CFTC Docket No. 78-38

-Registration as an associated person of a futures
commission merchant denied.

SHUNG, LEUNG KA -CFTC Docket No. 98-1

a/k/a STEPHEN LEUNG, STEPHEN LAING, STEPHEN LIANG

-Permanently prohibited from trading on or subject to the
rules of any contract market.

SHUSTER, MICHAEL -CFTC Docket No. 82-36

-Registration as an associated person of a futures
commission merchant denied.

SIEGEL, DAVID -CFTC Docket No. 80-20

-Respondent shall never apply for registration with the
Commission in any capacity, either individually or on behalf
of any corporation, partnership, or other entity.

-Refused registration with the Commission as an associated
person of a futures commission merchant.

SIGLER, MITCHELL J. -CFTC Docket No. 86-33

NFA-ID No. 0030119

-Registration as an associated person of a futures
commission merchant revoked.

SILVERMAN, JEFFREY L. -CFTC Docket No. 76-18

-Registration as an associated person of a futures
commission merchant revoked.

SILVERS, MEL -CFTC Docket No. 94-9

NFA-ID No. 0057883

-Registration as an associated person is revoked.

-Comply with undertaking never to seek registration with the Commission in any capacity or to act in any capacity which requires registration with the Commission.

SINGER, MARK LEE -CFTC Docket No. 97-4

NFA-ID No. 0205059

*-Registration with the Commission as an associated person is revoked.

*-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

*-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

SINGER, MICHAEL E. -CFTC Docket No. 93-2

NFA-ID No. 0015887 ; 0015887

-Prohibited from trading for his own account or for any account in which he has a direct or indirect interest, on any contract market, and all contract markets shall refuse him trading privileges for a period of five(5) years through September 12, 2004.

-Shall liquidate all futures and options positions held by him or on his behalf, or in which he has any beneficial interest, before the commencement of the denial of his trading privileges.

-Registration with the Commission as a floor broker is revoked.

-Shall not apply for registration, or claim exemption from registration with the Commission, or act in any capacity requiring registration, or exemption from registration with the Commission.

SITZMANN COMMODITIES, INC -CFTC Docket No. 96-5

NFA-ID No. 0087164

-Registration with the Commission as an introducing broker is revoked.

SITZMANN, DAVID EDWARD -CFTC Docket No. 96-5

NFA-ID No. 0053632

-Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

-Registration with the Commission as an associated person is revoked.

SITZMANN, MARK JOSEPH -CFTC Docket No. 96-5

NFA-ID No. 0089464

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges for a period of ten(10) years through March 16, 2007.

-Shall comply with the undertaking not to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

SKRODZKI, DAVID J. -CFTC Docket No. 89-17

NFA-ID No. 0063425

-Registration as a floor broker revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

SLEDZ, BRIAN E. -CFTC Docket No. 89-18

NFA-ID No. 0084963

CFTC-ID No. 0924333

-Registration as a floor broker revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

SLEDZ, JAMES G. -CFTC Docket No. 89-19

NFA-ID No. 0224599

-Comply with undertaking not to seek registration with the Commission in any capacity.

SLUSSER, JERRY W. -CFTC Docket No. 94-14

NFA-ID No. 0225612

-Permanently prohibited from trading on or subject to the rules of any contract market.

-Registration with the Commission as an associated person is revoked.

SMALL, LEANDER M. -CFTC Docket No. 78-43

-Registration as an associated person of a futures commission merchant revoked.

SMITH, GEORGE C. -CFTC Docket No. 93-26

NFA-ID No. 0000221

-Registrations with the Commission as a commodity trading advisor and as a commodity pool operator are revoked.

-Comply with undertaking not to reapply for registration with the Commission in any capacity.

SMITH, MICHAEL DAVID -CFTC Docket No. 93-9

NFA-ID No. 0026490

-Prohibited from trading for his own account or for any account in which he has a direct or indirect interest on any contract market and all contract markets shall refuse him trading privileges for a period of five (5) years through April 9, 2002.

-Registration with the Commission as a floor broker is revoked.

SOCHA, RICHARD S. -CFTC Docket No. 83-40

-Registrations as a commodity pool operator, commodity trading advisor and associated person revoked.

-Prohibited from trading on or subject to the rules of any contract market.

SONNENBERG, JAMES J. -CFTC Docket No. SD 88-2

-Registration as floor broker revoked.

SORKIN, HAROLD -CFTC Docket No. 84-29

a/k/a INTERNATIONAL DYNAMICS, INC., HAROLD
SORKIN AGENCY

-Prohibited from trading on or subject to the rules of any
contract market.

-Comply with undertaking not to seek registration with the
Commission in any capacity.

SORKVIST, JOHN WESLEY -CFTC Docket No. 92-19

NFA-ID No. 0005360

-Registration with the Commission as a floor broker is
revoked.

-Prohibited from trading on or subject to the rules of any
contract market for a period of five (5) years through
January 19, 2005.

SPECTRA, LTD. -CFTC Docket No. 84-29

-Registration as a commodity trading advisor and a commodity
pool operator revoked.

SPIEGEL, ROY D. -CFTC Docket No. 85-19

-Registration in any capacity be revoked.

SPINNER, DAVID H. -CFTC Docket No. 91-18

NFA-ID No. 0088802

CFTC-ID No. 1053014

-Comply with undertaking set forth in Part III of his offer
not to seek registration with the Commission in any
capacity, and not to engage in any activity which would
require such registration.

-Registration as an associated person of a futures
commission merchant is revoked.

SPINNER, STEVEN A. -CFTC Docket No. 91-18

NFA-ID No. 0013316

CFTC-ID No. 0905692

-Comply with undertaking set forth in Part III of his offer not to seek registration with the Commission in any capacity and not to engage in any activity which would require such registration.

-Registration as an associated person of a futures commission merchant is revoked.

SPITZER, RALPH -CFTC Docket No. 79-42

-Registration as an associated person of a futures commission merchant revoked.

STABILE, JOSEPH M. -CFTC Docket No. 77-8

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

STABILE, JOSEPH M. -CFTC Docket No. 80-11

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

STEIGERWALD, TONY W. -CFTC Docket No. 90-25

NFA-ID No. 0021163

CFTC-ID No. 0821812

-Comply with undertaking not to seek registration with the Commission in any capacity or act in any capacity which requires registration with the Commission.

STEIN, MURRAY L. -CFTC Docket No. 89-23

NFA-ID No. 0176153

-Registration with the Commission as an associated person be permanently revoked.

STEINER, JOEL -CFTC Docket No. 89-21

NFA-ID No. 0221322

- Prohibited from trading on or subject to the rules of any contract market.
- Comply with the undertaking never to seek registration with the Commission in any capacity and never to be an officer, director, shareholder, employee or agent of, to perform work for, to be associated with, or to receive any form of compensation from, either directly or indirectly, any Commission registrant.

STEINER, LESLIE -CFTC Docket No. 89-21

NFA-ID No. 0225741

- Prohibited from trading on or subject to the rules of any contract market.
- Comply with undertaking never to seek registration with the Commission in any capacity and never to be an officer, director, shareholder, employee or agent of, to perform work for, to be associated with, or to receive any form of compensation from, either directly or indirectly, any Commission registrant.

STEINERT, STEVEN I. -CFTC Docket No. 84-30

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

STEPHENS, E. DAVID COMMODITIES CORP. -CFTC Docket No. 91-18

NFA-ID No. 0086898

- Comply with undertaking set forth in Part III of its offer not to seek registration with the Commission in any capacity and not to engage in any activity which would require such registration.
- Registration as an introducing broker and a commodity pool operator are revoked.

STEPHENS, WILLIAM M. -CFTC Docket No. SD 00-04

NFA-ID No. 0291188

STEPHENS, WILLIAM M. -CFTC Docket No. SD 00-04 (continued)

- *-Registration with the Commission as an associated person is suspended until disposition of the charges against him in the indictment or until the suspension is terminated before such disposition by the Commission.

STERLING INVESTMENTS OF AMERICA A/K/A STERLING INVESTMENTS

-CFTC Docket No. 98-9

NFA-ID No. 0257300

- Permanently prohibited from trading on or subject to the rules of any contract market and all contract market shall refuse trading privileges.

STERLING INVESTMENTS OF AMERICA, INC. AN OREGON CORPORATION

-CFTC Docket No. 98-9

NFA-ID No. 0257299

- Registration with the Commission as an introducing broker is revoked.
- Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse trading priveleges.

STERLING INVESTMENTS OF AMERICA, INC., A FLORIDA CORPORATION

-CFTC Docket No. 98-9

NFA-ID No. 0252354

- Registration with the Commission as an introducing broker is revoked.
- Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse trading privileges.

STEVENS, RAUL P. -CFTC Docket No. SD 85-1

- Registration as an associated person of a futures commission merchant denied.

STEWART, G. & ASSOCIATES, INC. -CFTC Docket No. 78-43

- Registration as a commodity pool operator revoked.

STOTLER AND COMPANY -CFTC Docket No. 90-18

NFA-ID No. 0000853

CFTC-ID No. 0031881

-Prohibited from trading on or subject to the rules of any contract market.

-All current registrations shall be revoked.

STOUT, LAWRENCE WAYNE -CFTC Docket No. 81-4

-Application for registration as an associated person of a futures commission merchant denied.

STOVALL & STOVALL, INC. -CFTC Docket No. 75-7

-Registration as a futures commission merchant revoked.

STOVALL, RAWLIN L. -CFTC Docket No. 75-7

-Registration as a floor broker revoked.

STRULLE, RONALD H. -CFTC Docket No. 80-13

a/k/a RONALD H. DESTRULLE

-Registration as an associated person of a futures commission merchant revoked.

SUBA, THOMAS -CFTC Docket No. 83-4

-Prohibited from trading on or subject to the rules of any contract market.

SUN HING BULLION INVESTMENT LTD. -CFTC Docket No. 92-9

-Prohibited from trading on or subject to the rules of any designated contract market.

-Comply with its undertaking never to seek registration with the Commission in any capacity.

SUNDHEIMER, STEPHEN M. -CFTC Docket No. 79-22

-Registration as a floor broker revoked.

SUTER, RICHARD W. -CFTC Docket No. 80-24

-Registration as a commodity trading advisor revoked.

SUTTON ROSS & ASSOCIATES, INC. -CFTC Docket No. 82-22

-Registration as a commodity trading advisor and a commodity pool operator revoked and is prohibited from registering with the Commission in any capacity.

SVAGDIS, EDWARD J. -CFTC Docket No. 82-1

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited permanently from trading on or subject to the rules of any contract market.

SWANNELL, RICHARD -CFTC Docket No. 00-28

*-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including him/herself, of any commodity futures or options trading system or advisory service.

*-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

*-Prohibited from trading on all contract markets until Swannell shows to the satisfaction of the Commission that payment of the full amount of the civil penalty with interest thereon to the date of payment has been made.

SWARTZLANDER, PHILIP J. -CFTC Docket No. 83-57

-Prohibited from trading on or subject to the rules of any contract market for twenty(20) years, through June 4, 2004.

SWEENEY & ASSOCIATES -CFTC Docket No. 82-19

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

SWEENEY, JAMES J. -CFTC Docket No. 82-19

-Prohibited from trading on or subject to the rules of any contract market.

T & D MANAGEMENT COMPANY -CFTC Docket No. 82-12

- Registration as a commodity trading advisor and a commodity pool operator revoked.
- Respondent shall not seek registration at any time in the future in any capacity.

TAN, DENNIS K. -CFTC Docket No. 88-31

- Registration as an associated person of a futures commission merchant revoked.
- Comply with undertaking not to apply for registration with the Commission or the National Futures Association in any capacity at any time in the future.
- Comply with undertaking never again to become a principal of any entity that is required to be registered in any capacity under the Act.
- Prohibited from trading on or subject to the rules of any contract market.

TARA SECURITIES, INC. -CFTC Docket No. 89-21

a/k/a FINANCIAL TRADING GROUP

NFA-ID No. 0177594

- Prohibited from trading on or subject to the rules of any contract market.
- Registration as an introducing broker revoked.

TAYLOR COMMODITIES CORP. -CFTC Docket No. 79-19

- Registrations as a futures commission merchant, commodity trading advisor and commodity pool operator revoked.
- Shall not seek registration with the Commission in any capacity.

TAYLOR, RICHARD J. -CFTC Docket No. 79-19

- Registration as an associated person of a futures commission merchant revoked.
- Shall not seek registration with the Commission in any capacity.

TECHNO TRADING SYSTEMS, INC. -CFTC Docket No. 95-8

NFA-ID No. 0227116

-Registration with the Commission as an introducing broker
is revoked.

TEMPLE, SHAWN P. -CFTC Docket No. 90-24

NFA-ID No. 0218977

-Prohibited from trading on or subject to the rules of any
contract market.

THALER, ELLIOT -CFTC Docket No. 89-6

NFA-ID No. 0077846

CFTC-ID No. 0954259

-Registration as a person associated with a futures
commission merchant is revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

THOMAS, ALBERT W. -CFTC Docket No. 90-32

NFA-ID No. 0006538 ; 0090503

-Registration as an associated person revoked.

-Comply with undertaking to withdraw as principal of any
entity registered under the Act.

THOMAS, MICHAEL HJALMAR -CFTC Docket No. 95-8

NFA-ID No. 0197960

-Registration with the Commission as an associated person is
revoked.

-Shall not reapply for registration in any capacity for a
period of five (5) years through January 7, 2003.

THOMAS, RIAN A. -CFTC Docket No. 85-10

-Registration as an associated person of a futures
commission merchant revoked.

THOMAS, TODD ALAN -CFTC Docket No. 98-13

NFA-ID No. 0225041

- Registration with the Commission as an associated person is revoked.
- Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.
- Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

THOMPSON, R.B. ASSOCIATES, INC. -CFTC Docket No. 82-25

- Registration as a commodity trading advisor and a commodity pool operator revoked.
- Shall not seek registration with the Commission in any capacity.

THOMPSON, RICHARD B. -CFTC Docket No. 82-25

- Registration as an associated person of a futures commission merchant revoked.
- Shall not seek registration with the Commission in any capacity.

THOMSON, ALAN DOUGLAS -CFTC Docket No. 80-15

a/k/a DOUGLAS E. THOMPSON

- Prohibited from trading on or subject to the rules of any contract market.
- Registration as an associated person of a futures commission merchant revoked.

THREE EIGHT CORPORATION -CFTC Docket No. 88-33

- Prohibited from trading on or subject to the rules of any contract market.

THYSSEN, ELIZABETH ALEXANDRE -CFTC Docket No. 83-19

-Prohibited from trading on or subject to the rules of any contract market.

TIERNEY, DONALD D. -CFTC Docket No. 81-6

-Registration as a floor broker denied.

TIPTON, CARL M., JR. -CFTC Docket No. 77-17

-Application for registration as an associated person of a futures commission merchant denied.

TMI COMMODITIES -CFTC Docket No. 80-22

-Registration as a futures commission merchant revoked.

TORRES, RAFAEL D. -CFTC Docket No. 78-13

a/k/a ZAPATA RAFAEL

-Registration as an associated person of a futures commission merchant denied.

TRADING RESOURCES, INC. -CFTC Docket No. 92-24

NFA-ID No. 0183596

-Registration as a commodity pool operator and a futures commission merchant revoked.

-Comply with undertaking never to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration.

-Prohibited from trading on or subject to the rules of any contract market.

TREAT, EDWIN FRANCIS -CFTC Docket No. 78-17

-Registration as an associated person of a futures commission merchant denied.

TRITISCH, GARY A. -CFTC Docket No. 79-58

-Registration as an associated person of a futures commission merchant revoked.

TRUEBA, CARLOS T. -CFTC Docket No. 78-15

-Application for registration as an associated person of a futures commission merchant denied.

TSANTES, HARRY A. -CFTC Docket No. 88-1

-Registration as an associated person of a futures commission merchant revoked.

TSUI, ALLEN -CFTC Docket No. 98-10

NFA-ID No. 0276163

-Registration with the Commission as an associated person is revoked.

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges for a period of two(2) years through March 28, 2001.

-Shall undertake not to seek registration in any capacity under the Act and acting in any capacity for which registration with the Commission is required under the Act.

TUKEY, THOMAS -CFTC Docket No. 80-15

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

TULIG, DANIEL F. -CFTC Docket No. 89-11

NFA-ID No. 0030716

CFTC-ID No. 0655796

-Registration as an associated person is revoked.

-Comply with undertaking never to seek registration, or exemption from registration, with the Commission in any capacity, and never to engage in any activity which would require such registration.

-Prohibited from trading on or subject to the rules of any contract market.

TURKISH, NORMAN -CFTC Docket No. 80-5

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

TYLER, DEAN -CFTC Docket No. 90-31

NFA-ID No. 0194154

-Comply with the undertakings never to seek registration with the Commission in any capacity and shall never engage in any activity which would require such registration and shall never appear on or about the trading floor of any contract market during trading hours.

VALENTINE, DAVID -CFTC Docket No. 84-23

-Registration as an associated person of a futures commission merchant revoked.

VALK, VINCENT -CFTC Docket No. 85-23

-Registration as a commodity trading advisor revoked.

VAN OVERMEER, ROBERT J. -CFTC Docket No. 80-12

-Registration as an associated person of a futures commission merchant revoked.

VELISSARIS, GEORGE WILLIAM -CFTC Docket No. 00-02

NFA-ID No. 0175062

-Shall liquidate all futures and options held by him or on his behalf, or in which he has any beneficial interest, before commencement of the denial of his trading privileges.

-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as an agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

VENDITELLI, CHARLES -CFTC Docket No. 80-32

-Registration as a floor broker revoked.

VENDITELLI, CHARLES -CFTC Docket No. 80-32 (continued)

- Prohibited from trading for his own account, or any agent to representative of any other person or firm, or through any person or firm owned or controlled by him on or subject to the rules of any contract market.

VERCILLO, JOHN ANTHONY -CFTC Docket No. 91-8 & SD 93-11

NFA-ID No. 0023289

- Registration as a floor broker is revoked.

- Application for registration with the Commission as a floor trader is denied.

- Permanently prohibited from trading for his own account or for any account in which he has a direct or indirect interest on any contract market and all contract markets shall refuse him all trading privileges.

VERILLI ALTSCHULER SCHWARTZ, INC. -CFTC Docket No. 85-20

- Registrations as a futures commission merchant, commodity trading advisor and commodity pool operator revoked.

- Prohibited from trading on or subject to the rules of any contract market.

VESELY, ERIC G. -CFTC Docket No. 76-21

- Prohibited from trading on or subject to the rules of any contract market while not registered.

- Registration as an associated person revoked.

VIOLA, VINCENT ANTHONY -CFTC Docket No. 81-20

- Registration as a floor broker denied.

VIRGIL, JERRY N. -CFTC Docket No. 83-38

- Registration as an associated person of a futures commission merchant revoked.

VOLUME INVESTORS INTERNATIONAL, INC. -CFTC Docket No. 85-25

- Registration as a futures commission merchant revoked.

- Prohibited from trading on or subject to the rules of any contract market.

VON HOFMANN, KURT A. -CFTC Docket No. 80-2

-Prohibited from trading on or subject to the rules of any contract market.

VONBRAUN, HERMAN -CFTC Docket No. 78-30

-Registration as an associated person of a futures commission merchant denied.

WAGNER, MARTHA A. -CFTC Docket No. 90-28

NFA-ID No. 0073214

CFTC-ID No. 0669440

-Comply with undertaking not to apply for registration with the Commission in any capacity.

WALSH, WILLIAM A. -CFTC Docket No. 90-5

NFA-ID No. 0205414

-Registration as a floor broker of a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

WATERS TAN & COMPANY, INC. -CFTC Docket No. 88-31

-Registrations as a commodity trading advisor and introducing broker revoked.

-Comply with undertaking not to reapply for registration with the Commission or the National Futures Association in any capacity at any time in the future.

-Prohibited from trading on or subject to the rules of any contract market.

WATERS, JOHN P. -CFTC Docket No. 88-31

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to apply for registration with the Commission or the National Futures Association in any capacity at any time in the future.

-Comply with undertaking never again to become a principal of any entity that is required to be registered in any capacity under the Act.

WATERS, JOHN P. -CFTC Docket No. 88-31 (continued)

-Prohibited from trading on or subject to the rules of any contract market.

WAYNE COUNTY PRODUCE, INC. -CFTC Docket No. 77-15

-Prohibited from trading on or subject to the rules of any contract market.

WEBSTER, JOHN J. -CFTC Docket No. 78-19

NFA-ID No. 0221296

-Registration as an associated person of a futures commission merchant denied; respondent unfit to be registered.

WEINBERG, MARK R. -CFTC Docket No. 89-24

NFA-ID No. 0051435 ; 0000283

-Registrations with the Commission as a commodity trading advisor and a commodity pool operator are revoked.

WEITMAN, EDWARD P. -CFTC Docket No. 79-7

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

WEITMAN, MARY FITZPATRICK -CFTC Docket No. 79-7

-Registration as an associated person of a futures commission merchant revoked.

WELDON, ANTHONY H.D. -CFTC Docket No. 89-11

NFA-ID No. 0072429

CFTC-ID No. 0682682

-Prohibited from trading on or subject to the rules of any contract market for a period of ten(10) years, through October 25, 2001.

WELLINGTON FINANCIAL GROUP, INC. -CFTC Docket No. 99-10

NFA-ID No. 0276332

-Registration with the Commission as an introducing broker is revoked.

WELLINGTON FINANCIAL GROUP, INC.

-CFTC Docket No. 99-10 (continued)

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse its trading privileges.

-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

WESTERN MANAGEMENT CORPORATION -CFTC Docket No. 84-48

-Comply with undertaking not to seek registration with the Commission in any capacity.

WESTFIELD CLEARING, LTD. -CFTC Docket No. 81-16

-Registration as a futures commission merchant revoked.

WESTHEIMER, GERALD J. -CFTC Docket No. 85-25

NFA-ID No. 0013024

-Registration as a floor broker is hereby revoked.

WEXLER, FREDERICK N. -CFTC Docket No. SD 89-5

NFA-ID No. 0007552

CFTC-ID No. 0686022

-Registration as an associated person of a futures commission merchant is revoked.

WHEALAN, EMMETT J. -CFTC Docket No. 96-4

NFA-ID No. 0004710

-Prohibited from trading for his own account or for any account in which he has a direct or indirect interest, on any contract market, and all contract markets shall refuse him trading privileges for a period of five(5) years through November 17, 2004.

-Shall liquidate all futures and options positions held by him or on his behalf, or in which he has any beneficial interest, before the commencement of the denial of his trading privileges.

WHEALAN, EMMETT J. -CFTC Docket No. 96-4 (continued)

- Registration with the Commission as a floor broker is revoked.
- Shall never apply for registration with the Commission in any capacity, and never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

WHITEHALL INVESTORS INTERNATIONAL, INC. -CFTC Docket No. 86-24

- Registration as a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

WHITEHOUSE, SUSAN -CFTC Docket No. 84-32

- Registration as an associated person of a futures commission merchant revoked.

WICKNERTZ, PETER M. -CFTC Docket No. 93-23

a/k/a PER MAGNUS WICKNERTZ

NFA-ID No. 0195862

- Registration as an associated person revoked.

WIENS, JOEL -CFTC Docket No. 84-48

- Comply with undertaking not to seek registration with the Commission in any capacity.

WILKENS, RODNEY P. -CFTC Docket No. 87-13

NFA-ID No. 0073711

CFTC-ID No. 0691508

- Prohibited from trading on or subject to the rules of any contract market.

WILLIAMS, JOHN JERRY -CFTC Docket No. 78-21

a/k/a LEROY FEATHERSON

- Registration as an associated person of a futures commission merchant denied.

WILSON, WILBERT A. -CFTC Docket No. 81-10

-Prohibited from trading on or subject to the rules of any contract market.

WINCHESTER-HARDEN-OPPENHEIMER -CFTC Docket No. 77-21

-Prohibited from ever owning or having a beneficial interest in a membership on a contract market.

-Registration as a futures commission merchant revoked.

-Shall not seek registration with the Commission in any capacity.

WOLCOTT & LINCOLN FUTURES, L.L.C. -CFTC Docket No. 99-14

a/k/a WOLCOTT & LINCOLN FUTURES, INC.

NFA-ID No. 0189569

-Registration with the Commission as a futures commission merchant is revoked.

WONG, MOSES LW. -CFTC Docket No. 93-8

a/k/a WONG LUNG WAH

NFA-ID No. 0206441

-Comply with undertaking to withdraw as an associated person and not to apply for registration with the Commission in any capacity at any time.

-Comply with undertaking not to act in any capacity as an associated person, futures commission merchant, commodity pool operator, commodity trading advisor, introducing broker, floor trader, or floor broker, or as a principal of any person registered or required to be registered under the Commodity Exchange Act, as amended.

WORD, CALVIN -CFTC Docket No. 86-6

NFA-ID No. 0077624

CFTC-ID No. 0703012

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

WORLD TRADING GROUP -CFTC Docket No. 90-32

NFA-ID No. 0088760

-Registration as an introducing broker revoked.

WORLD WIDE COMMODITIES MANAGEMENT CORP. -CFTC Docket No. 76-20

-Registration as a commodity pool operator revoked.

WORTH, RICHARD S. -CFTC Docket No. 78-27

-Registration as an associated person of a futures
commission merchant denied.

WOZNIAK, RICHARD -CFTC Docket No. 77-8

-Registration as a floor broker revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

WRIGHT, CHARLES W. -CFTC Docket No. 78-24

-Registration as an associated person of a futures
commission merchant denied.

WTC INVESTMENT GROUP, INC. -CFTC Docket No. 88-31

-Registration as a commodity pool operator revoked.

-Comply with undertaking not to reapply for registration
with the Commission or the National Futures Association in
any capacity at any time in the future.

-Prohibited from trading on or subject to the rules of any
contract market.

WYMER, STEVEN D. -CFTC Docket No. SD 92-3

NFA-ID No. 0062521

-Registration as a commodity trading advisor revoked.

YANG, JOSEPH LEE -CFTC Docket No. 87-17

-Comply with undertaking not to seek registration with the
Commission or the National Futures Association in any
capacity.

-Prohibited from trading on or subject to the rules of any
contract market.

YATVIN, MICHAEL B. -CFTC Docket No. 91-21

NFA-ID No. 0076719

CFTC-ID No. 0784248

-Comply with his undertaking never to seek registration with the Commission in any capacity and never to engage in any activity which would require such registration.

YEE, PAUL -CFTC Docket No. 79-26

-Registration as an associated person of a futures commission merchant revoked.

YEH, FRANK F.Y. -CFTC Docket No. 95-7

a/k/a FENG-YI YEH

NFA-ID No. 0214991

-Registration with the Commission as an associated person is revoked.

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

YORKSTONE RESEARCH, INC. -CFTC Docket No. 83-34

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor and a commodity pool operator revoked.

ZAMOJCIN, ALFRED JOHN -CFTC Docket No. 00-26

NFA-ID No. 0017555

*-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self regulatory organization registered or subject to regulation by the Commission for a period of one (1) year through August 6, 2001.

*-Shall not directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission for a period of one (1) year through August 6, 2001.

ZAMOJCIN, ALFRED JOHN -CFTC Docket No. 00-26 (continued)

- *-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission or over any person, whether required to be registered with the Commission or not, involved in the writing, receipt, or transmission of orders, and/or the completion or processing of order tickets, for futures contracts or options on futures contracts, other than for his own account for a period of one (1) year through August 6, 2001.
- *-Shall not act in any capacity, whether registration with the Commission is required or not, which involves the writing, receipt, or transmission of orders, and/or the completion or processing of order tickets, for futures contracts or options on futures contracts, other than for his own account subject to certain conditions for a period of one (1) year through August 6, 2001.

ZARCONE, PHILLIP C. -CFTC Docket No. 93-18

- Denied the privilege of appearing or practicing before the Commission as an accountant for a period of eight(8) years, through August 10, 2001; and during that time period, he shall not prepare any statement, opinion or other paper filed with or submitted to the Commission on behalf of another person in connection with any application, notification, report or other document, and shall not transact any other formal business with the Commission on behalf of another person in the capacity of any accountant.

ZEFF, EDWARD J. -CFTC Docket No. 90-8

NFA-ID No. 0049287
CFTC-ID No. 0710891

- Registration as an associated person of a futures commission merchant revoked.

ZIMMERMAN, DARRELL MURRAY -CFTC Docket No. 94-10

NFA-ID No. 0194083

- Prohibited from trading for his own account or for any account in which he has a direct or indirect interest or any contract market.

ZIPKIN, WILLIAM L. -CFTC Docket No. 85-27

a/k/a LARRY ZIPKIN

NFA-ID No. 0055221

CFTC-ID No. 0713065

-Registration as a commodity trading advisor and a commodity pool operator revoked.

ZURICH TRADING CORPORATION -CFTC Docket No. 82-27

-Registration as a commodity trading advisor and a commodity pool operator revoked.